
National Health
and Nutrition
Examination Survey

INTERVIEWER
PROCEDURES
MANUAL



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1. INTRODUCTION TO THE NATIONAL HEALTH AND NUTRITION EXAMINATION SURVEY

This chapter provides a general description of the health examination surveys conducted by NCHS and the ongoing National Health and Nutrition Examination Survey. It also provides an overview of the tasks the interviewers are expected to perform during the survey.

1.1 History of the National Health and Nutrition Examination Programs

This NHANES is the eighth in a series of national examination studies conducted in the United States beginning in 1960.

The National Health Survey Act, passed in 1956, provided the legislative authorization for a continuing survey to provide current statistical data on the amount, distribution, and effects of illness and disability in the United States. In order to fulfill the purposes of this act, it was recognized that data collection would involve at least three sources: (1) the people themselves by direct interview; (2) clinical tests, measurements, and physical examinations on sample persons; and (3) places where persons received medical care such as hospitals, clinics, and doctors offices.

To comply with the 1956 act, between 1960 and 1994, the National Center for Health Statistics (NCHS), a branch of the U.S. Public Health Service, in the U.S. Department of Health and Human Services, has conducted seven separate examination surveys to collect interview and physical examination data.

The first three of these national health examination surveys were conducted in the 1960s:

1. 1960-62—National Health Examination Survey I (NHES I);
2. 1963-65—National Health Examination Survey II (NHES II);
3. 1966-70—National Health Examination Survey III (NHES III);

NHES I focused on selected chronic disease of adults aged 18-79. NHES II and NHES III focused on the growth and development of children. The NHES II sample included children ages 6-11,

while NHES III focused on youths ages 12-17. All three surveys had an approximate sample size of 7,500.

Beginning in 1970 a new emphasis was introduced. The study of nutrition and its relationship to health status had become increasingly important as researchers began to discover links between dietary habits and disease. In response to this concern, under a directive from the Secretary of the Department of Health, Education and Welfare, the National Nutrition Surveillance System was instituted by NCHS. The purpose of this system was to measure the nutritional status of the U.S. population and changes over time. A special task force recommended that a continuing surveillance system include clinical observation and professional assessment as well as the recording of dietary intake patterns. Thus, the National Nutrition Surveillance System was combined with the National Health Examination Survey to form the National Health and Nutrition Examination Survey (NHANES). Four surveys of this type have been conducted since 1970:

4. 1971-75—the first National Health and Nutrition Examination Survey I (NHANES I);
5. 1976-80—the second National Health and Nutrition Examination Survey II (NHANES II);
6. 1982-84—Hispanic Health and Nutrition Examination Survey (HHANES); and
7. 1988-94—the third National Health and Nutrition Examination Survey (NHANES III).

NHANES I, the first cycle of the NHANES studies, was conducted between 1971 and 1975. This survey was based on a national sample of about 28,000 persons between the ages of 1-74. Extensive data on health and nutrition were collected by interview, physical examination, and a battery of clinical measurements and tests from all members of the sample.

NHANES II began in 1976 with the goal of interviewing and examining 28,000 persons between the ages of 6 months to 74 years. This survey was completed in 1980. To establish a baseline for assessing changes over time, data collection for NHANES II was made comparable to NHANES I. This means that in both surveys many of the same measurements were taken, the same way, on the same age segment of the U.S. population.

While the NHANES I and NHANES II studies provided extensive information about the health and nutritional status of the general U.S. population, comparable data were not available for many

of the ethnic groups within the United States. HHANES, fielded from 1982 to 1984, aimed at producing estimates of health and nutritional status for the three largest Hispanic subgroups in the United States—Mexican Americans, Cuban Americans and Puerto Ricans—that were comparable to the estimates available for the general population. HHANES was similar in design to the previous HANES studies, interviewing and examining about 16,000 people in various regions across the country where there are large Hispanic populations.

NHANES III, conducted between 1988 and 1994, included approximately 40,000 persons selected from households in 81 counties across the United States. As previously mentioned, minority groups can have very different health status and characteristics, and thus black Americans and Mexican Americans were selected in NHANES III in large proportions. Each of these groups comprised separately 30 percent of the sample. It was the first survey to include infants as young as 2 months of age and to include adults with no upper age limit. For the first time a home examination was developed for those persons who were unable or unwilling to come into the exam center but would agree to an abbreviated examination in their homes. To obtain reliable estimates, children (1-5 years) and older persons (60+ years) were sampled at a higher rate. NHANES III also placed an additional emphasis on the effects of the environment upon health. Data were gathered to measure the levels of pesticide exposure, the presence of certain trace elements in the blood, and the amounts of carbon monoxide present in the blood.

In addition to NHANES I, NHANES II, Hispanic HANES, and NHANES III, several other HANES projects have been underway since 1982. These projects have been a part of the HANES Epidemiologic Follow-up Survey, a multiphase project that has been conducting follow-up interviews with the NHANES I survey population in order to provide a longitudinal picture of the health of the U.S. population.

1.2 Overview of Current NHANES

This NHANES will follow in the tradition of past NHANES surveys, continuing to be a keystone in providing critical information on the health and nutritional status of the U.S. population.

The major differences from previous NHANES is that this NHANES will be a **continuous annual survey** and will be linked to the National Health Interview Survey. NHANES will collect data from a representative sample of the U.S. population every year. This will allow annual estimates for

broad groups and more detailed estimates for specific race-ethnicity groups when several years of data are examined together. The new design also will allow some flexibility in the content of the questionnaires and exam modules. In addition, new technology innovations in computer-assisted interviewing and data processing will result in rapid and accurate data collection, data processing, and publication of results.

The number of people examined in a 12-month period will be about the same as in previous NHANES, about 7,000 persons per year in 15 locations. The data from NHANES are used by government agencies, state and community organizations, private researchers, consumer groups, companies, and health care providers.

1.2.1 NHANES Pilot and Dress Rehearsal

In mid 1998 and early 1999, three comprehensive tests were conducted in preparation for the main study—a pilot and two dress rehearsals. In each test, respondents were interviewed in their home and then asked to participate in a physical examination in the MEC. All tests were conducted in the Washington metropolitan area.

The pilot tested the household interviewing procedures and MEC procedures, including the physical exams, the examination center interviews, and the field office and exam center Integrated Survey Information System (ISIS). The dress rehearsals were the final trial run of all survey procedures.

1.2.2 Data Collection for NHANES Main Survey

Data collection on the NHANES main survey began early in 1999 and will be continuous. Westat has been contracted to conduct the study for approximately six years at 88 locations (stands) across the United States. Nearly 7,000 individuals per year of all ages in households across the United States will be randomly selected to participate in the main survey. The study respondents include whites as well as an oversample of blacks and Mexican Americans. The study design also includes a

representative sample of these groups by age, sex, and income level. Adolescents, older persons, and pregnant women will also be oversampled. The following are the overall goals of the data collection:

- Estimate the number and percentage of persons in the U.S. population and designated subgroups with selected diseases and risk factors.
- Monitor trends in the prevalence, awareness, treatment, and control of selected diseases.
- Monitor trends in risk behaviors and environmental exposure.
- Analyze risk factors for selected diseases.
- Study the relationships between diet, nutrition, and health.
- Explore emerging public health issues and new technologies.

Selected persons are invited to take part in the survey by being interviewed in their homes. Household interview data is collected via Computer Assisted Personal Interviewing (CAPI) and includes demographic, socioeconomic, dietary, and health-related questions. Upon completion of the interview, sample persons are asked to participate in a physical examination. The examination will be conducted in a specially equipped and designed Mobile Examination Center (MEC), consisting of four trailers. The MEC houses all of the state-of-the-art equipment for the physical exam and the tests conducted. The trailers are divided into rooms to assure the privacy of each study participant during the examination and interview. This examination includes a physical and dental examination conducted by a physician and a dentist, laboratory tests, X-rays, and other health interviews conducted by highly trained medical personnel. The household interviews and MEC exam combined will collect data in the following important health related areas:

- Cardiovascular and respiratory disease;
- Vision;
- Hearing;
- Mental illness;
- Growth;
- Infectious diseases and immunization status in children;
- Obesity;

- Dietary intake and behavior;
- Nutritional status;
- Disability;
- Skin diseases;
- Environmental exposures;
- Physical fitness; and
- Other health-related topics.

1.3 Field Organization for NHANES

There are two levels of field organization for this study—the home office staff and the field staff.

- **Home Office Staff from Westat**—Project staff from Westat are responsible for overseeing the field work.
- **Field Staff**—The field staff consists of three groups of employees: The stand office staff, the interviewers, and the MEC staff.
 - *Stand Office Staff*—For the main study, there are three office staff teams. Each team will work at an office opened at a specific stand. Each stand office will be headed by a study manager (SM) and will include a field manager (FM), an office manager (OM), and an assistant office manager (AOM).

The study manager (SM) is responsible for the overall management of operations at a stand. S/he will also have primary responsibility for supervision of the household interviewers (health representatives).

The field manager's primary responsibility is to assist the SM and supervise the activities of the AOM. S/he will deal with administrative issues and ISIS and CAPI problems.

The office manager is responsible for the stand office operations and is the main conduit for the flow of work and information between the MEC and the household interviewing staff. S/he supervises one or more local office clerks hired to assist with office activities.

The assistant office manager is primarily responsible for data entry into the Integrated Survey Information System (ISIS), editing data collection materials, and verification of interviewer work. They report to the field manager.

- *Interviewers*—This staff is primarily responsible for identifying and enrolling the survey participants, conducting the household interviews, and appointing the study participants for health examinations.

Twice a week interviewers visit the stand office and report to the study manager. During the course of the study interviewers also interact with the other field office staff as well as home office staff.

- *MEC Staff*—This staff of health professionals conducts the physical examinations. The main study includes two exam teams traveling from stand to stand. There are 17 individuals on each traveling team: 1 MEC manager, 1 MEC coordinator, 1 data manager, 1 licensed physician, 1 licensed dentist, 3 medical technologists, 4 health technicians, 2 MEC interviewers, 2 dietary interviewers, and 1 phlebotomist. In addition, local assistants are recruited, trained, and employed at each stand to assist the exam staff.

1.4 Overview of Interviewer Tasks

This section describes the steps that are always completed prior to the opening of a stand and also provides an overview of the tasks interviewers will be expected to perform. Each of these tasks is discussed in detail in later sections of this manual. In the overview that follows, certain key items are highlighted. These are basic concepts critical to the conduct of the study.

Steps completed prior to interviewing:

1. Statisticians **scientifically select certain segments** throughout sampling area. A segment is an area with definite boundaries, such as a city block or group of blocks containing a cluster of households.
2. Twelve weeks before data collection begins, NHANES staff **lists the segments**. Listing is the systematic recording on special forms of the address of every dwelling unit located within the segment. Commercial buildings and other structures not intended as living quarters will not be listed.
3. A **sample of dwelling units is selected** from the listing forms. This sample is the group of addresses that interviewers visit in order to conduct interviews.
4. Immediately before data collection begins, an **advance letter** will be sent to each dwelling unit with a mailing address. This letter briefly describes the study and informs the household that an interviewer will be contacting them in the near future.

The tasks interviewers perform at a stand include:

1. Interviewers will be given an **assignment** of sampled dwelling units (addresses) to contact. Each assignment will consist of prelabeled Household Folders, prelabeled Neighbor Information Forms, and the appropriate Segment Folder. The corresponding cases are loaded onto your pentop.
2. Using addresses on the Household Folders and listing/mapping materials in the Segment Folder, interviewers will **locate these dwelling units**.
3. **If a selected address is not a dwelling unit or is not occupied**, interviewers will complete the "Vacant/Not a DU Section" on the Screener Non-Interview Form.
4. **In an occupied residential dwelling** unit, interviewers will contact an adult who lives in the selected household and administer the **Screener** on a pentop computer.

The Screener is an interview that enumerates all the individuals who live in the household, divides the household into families, and collects all the demographic characteristics necessary to immediately determine if there are persons in the household eligible for further interviewing.

All instructions necessary to determine eligibility and select sample persons (SPs) are **programmed** in the CAPI Screener.

5. If all persons in a household are **ineligible**, no further work will be done with the case. When **eligible** household members are identified, interviewers will continue to conduct all the necessary tasks associated with the case.
6. In eligible households a **signed interview consent form** for each respondent to the Sample Person Questionnaire and/or the Family questionnaire will be obtained.
7. Next, the appropriate Sample Person Questionnaire will be administered to eligible respondents or SPs. The questions asked will depend on the age of the SP.
8. In each household containing children ages 1-5, floor and window sill **dust samples** will be obtained. These samples will provide information on lead dust levels in the household environment.
9. A **Family questionnaire** will also be administered to one adult family member from each eligible family in the household.
10. Next, interviewers will set up an **examination appointment**. This process will be repeated for each SP, attempting to coordinate appointments that conform to the examination center schedule and are convenient for an individual SP and all other SPs within a family unit.

11. Interviewers will then obtain **signed consent form(s) for each SP for the examination**, call the field office to confirm the examination appointment(s), and give each SP an appointment slip.
12. If there is **more than one eligible family with SPs** selected, **this process will be repeated with each of the additional families**. Most often there is only one family in a household.
13. Interviewers will **record the result of each contact or attempted contact** with the household on the Call Record located on the Household Folder.
14. Interviewers will also support the survey by conducting some **field reminders** prior to MEC appointments and assist with **rescheduling of broken** (cancelled or no-show) **appointments** for the examinations.
15. If an interviewer is unable to complete any of the questionnaires or procedures (for any SP), a **Nonresponse Card** will be completed. This card documents the problems encountered in completing one or more tasks.
16. Interviewers will **check for missed DUs and/or structures** when instructed to do so. If any are found, the Missed DU or Missed Structure Procedures will be implemented and appropriate forms will be completed.
17. When an interview has been completed, interviewers will **edit** their work, carefully reviewing all forms for completeness and legibility.
18. Interviewers will **report in person to the SM** at the stand office for regularly scheduled conferences, usually twice a week. During these conferences, interviewers will return and discuss completed cases, discuss problems with incomplete cases, receive new case assignments, and report on time, expenses, and production.
19. To insure the accuracy and completeness of the survey, **all of interviewer work will be edited by the field office staff, and then validated** by recontacting respondents. After this review, supervisors will provide interviewers with feedback concerning the quality of the work.
20. At the end of each stand field period, interviewers will **return all interviewing materials** to the supervisor.

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2. PREFIELD PROCEDURES

This chapter provides you with a description of all the materials you will be using in your job as an interviewer. It also provides a description of how you will receive assignments, as well as how to plan a schedule and prepare to go into the field to work on your assignments.

2.1 Overview of Interviewer Materials

Materials needed for interviewers to complete their work are available in the stand office. It is your responsibility to obtain the essential supplies from the stand office as you start your assignment. Check your supplies regularly so that you can pick up additional materials before you run out.

The sections below describe the materials you will use on this study. Most of these items are discussed in more detail in other chapters of this manual. The brief descriptions provided in this chapter are arranged under four main headings:

1. Materials to encourage respondent cooperation;
2. Materials to be used in the field;
3. Materials for organization and recordkeeping; and
4. Materials to help you prepare for your job.

2.1.1 Materials to Encourage Respondent Cooperation

These materials are designed to introduce the survey to respondents and to encourage them to participate in the interview. As noted below, many of these materials are available in Spanish as well as English.

- **Advance Letter (English and Spanish)**—This letter introduces the survey and requests the respondent's participation. In most situations, the home office will send a letter to each address just before you are assigned the case. In some areas, however, the addresses will not be adequate to mail the letter. In those cases, you will present the letter during the first contact with a household member. Make sure that each

household has received an advance letter either in the mail or directly from you during your introduction.

- **Identification Badge**—This U.S. Public Health Service photo ID verifies that you are a health representative working on the study.
- **Language Identification Card**—This trifold card enables the respondent to identify the household language by placing a check mark next to their spoken language.
- **NHANES at a Glance**—This manual provides visual aides to be used, as necessary, to obtain respondent cooperation. It contains articles from newspapers, magazines, and letters of endorsement, etc. It is the only manual shown to respondents.
- **NHANES Data Uses Sheet (English and Spanish)**—This fact sheet provides you with examples of information collected on previous NHANES surveys and how the information has been used to benefit the U.S. population.
- **NHANES Let's Improve Our Health Brochure**—This brochure gives an overview of the NHANES survey. It describes the survey and gives a brief summary of the benefits of the survey, what participation involves and provides reasons why they should participate.
- **Confidentiality Brochure (English and Spanish)**—This brochure contains a brief description of the procedures used to ensure the strict confidentiality of all survey responses and examination results.
- **Screeners Brochure (English and Spanish)**—This brochure contains a brief description of the study and provides answers to questions respondents may have about the study. It emphasizes that eligible respondents may be asked further questions related to health and nutrition. It includes brief information about the NHANES sampling procedures and how the respondent's household was selected. You should have this brochure available to hand out to an eligible Screener respondent.
- **NHANES Overview**—A brochure of NHANES data highlights that illustrate how information collected in the survey has benefited people in the U.S.
- **Newspaper Flyer (English and Spanish)**—This one page flyer includes several abbreviated newspaper articles that show some findings from NHANES III.
- A **NHANES magnet** that can be affixed to a refrigerator.
- A **NHANES ruler** that can be handed out to parents or children.
- **Outreach Folders**—These are two-pocket folders designed for NHANES and they can be left with eligible households to hold informational materials, consent form copies, etc. at the conclusion of interviews.

- **Health Exam Flyers (English and Spanish)**—3 color flyers highlighting the bone density, cardiovascular fitness and vision components.
- **National Endorsement Letters**—National organizations supply letters in support of the survey and to encourage study participation. The following organizations have provided letters:
 - American Association for Retired Persons (AARP)
 - The Department of Veterans Affairs (VA)
 - National Association for the Advancement of Colored People (NAACP)
 - The Social Security Administration (English/Spanish)
 - U.S. Department of Justice Immigration and Naturalization Service (English/Spanish)
 - National Council of La Raza (English/Spanish)
 - Center for Medicare and Medicaid Services (English/Spanish)
- **Tuskegee Brochure**—A brochure describing the infamous syphilis study and the changes that Congress has passed to ensure government sponsored studies are conducted in a safe and ethical manner.
- **Pregnancy Brochure**—A brochure addressing the concerns a pregnant survey participant may express in receiving the exam.
- **African-American and Mexican-American Flyers**—Color fliers describing health conditions affecting certain population groups and the benefits of participating in NHANES.
- **Growth Charts**—Using data collected through NHANES, the charts illustrate length-to-age and weight-to-age percentiles for males and females birth to 20 years of age.
- **Laboratory Blood Tests Flyer**—A double-sided flyer briefly describing over four dozen laboratory exams run on the blood samples obtained during the exam.
- **Prostate Specific Antigen (PSA) Flyer**—The flyer relays facts about the disease and highlights the benefits of early detection through screening.
- **Thank You Notes**—The cards are used to express appreciation for participation in the interview and/or exam. The cards may be mailed to the home or delivered in person by the interviewer.

2.1.2 Materials to Help You Prepare for Your Job

These materials are designed both as study guides for the training sessions and as reference documents for use throughout the field period. The materials are all contained within the manuals as follows:

1. **Interviewer's Manual**—This document contains all the study-specific information needed to work on NHANES. The manual is divided into 2 parts:

Part I

- **Field Procedures**—This section provides the specific procedures which must be followed for this survey.
- **Specifications for Household Interviews**—This section contains instructions and explanations for administering the Sample Person (SP) and Family questionnaires.
- **Glossary**—This section contains a list of words and terms used in the Screener, Relationship, Sample Person and Family questionnaires. Many of the terms listed in the glossary are also included in the CAPI instrument in on-line help screens.

Part II

- **Obtaining Respondent Cooperation Manual**—This manual contains documentation on all materials and techniques used to obtain respondent cooperation.
2. **CAPI Manual**—This manual documents the procedures you will use to maintain and operate your pentop and conduct interviews using a computerized questionnaire application.

2.1.3 Materials to be Used in the Field

The materials that you will use while interviewing include the following:

- **Appointment for Examination Slip (English and Spanish)**—This appointment slip is a reminder to be left with SPs for whom an appointment for an examination at the MEC has been scheduled. There are four versions of this form that vary by fasting guidelines and age.

- **Authorization for Transportation Arrangements for Persons Under 16 Years of Age (English and Spanish)**—This form must be completed, at the time of interview, by a parent or guardian of any SP under 16 who will be transported to the MEC.
- **Dust Collection Kit**—In selected households you will be collecting dust samples to determine lead dust levels in the home. This kit will contain all the forms and supplies you will need to conduct this module.
- **Consent Forms (English and Spanish):**
 - **Household Interview Consent Form (English and Spanish)**—This form provides respondents with information about the interview process and documents that informed consent has been obtained for each interview administered in the household. One interview consent form must be signed by each eligible respondent to the SP and the Family questionnaire.
 - **Sample Person MEC Consent/Assent Brochures (English and Spanish)**—These brochures contain more detailed information about the purpose of the study, particularly the examination module. There is a brochure for SPs 12 and older and parents of SPs under 18, and an assent brochure for children 7-11. The last page of the brochure contains the MEC examination consent or assent forms. This brochure must be presented to the SP, and/or the parent of the SP, as part of the examination informed consent process. S/he (and/or his/her parent or guardian) must read the brochure and sign the consent/assent form(s) prior to being examined.
 - **Future Research Consent/Assent Form (English and Spanish)**—This form provides SPs with information about this process and documents whether informed consent from the SP has been obtained or not to keep specific specimens from the exam for future research to help understand health and disease. There is one consent/assent form. This form should be signed for each SP receiving an exam.
 - **Dust Collection Consent Form (English and Spanish)**—This form documents that consent for the dust collection process has been obtained from those households eligible for this module and that the purpose and procedures associated with the process have been explained. One Dust Collection Consent Form must be signed by an adult member of the household.
- **Hand Cards (English and Spanish)**—There are two sets of hand cards: one contains information for your use during the screening interview, and the other contains information you will use during the Sample Person (SP) and Family interview. In addition, the second set of hand cards helps you with the dust collection procedure and the MEC appointment making process.
- **Household Folder**—This folder contains the following:
 1. Address information to use in locating the unit;

2. An Appointment Summary box in which to enter key MEC appointment status;
3. Summary of forms to complete the consent process;
4. Household language use information to document languages spoken in the household and translator information to track translator needs/arrangements;
5. Missed Structure/Missed DU Forms to be completed when appropriate;
6. Incentive Information to record the amount each SP will receive for their participation;
7. A list of the Call Record Result Codes used to record the dispositions of the survey modules; and
8. The Household Call Record, which is used to record all contacts and results of contacts with the household.

The Household Folder is also used to hold and organize all hard-copy forms associated with the household.

- **Pentop computer and carrying case**—As mentioned previously, all of the screening and household interviewing will be conducted using a pentop computer. This case helps you carry your equipment and materials safely.
- **Neighbor Information Form/Screening Non-Interview Form**—On the front page of this document are the screening questions you will ask when conducting the Screening with a neighbor. The front page also contains a box that provides the written household sampling instructions needed to select SPs. The back page of this document is used for documenting those instances in which the household is determined to be either vacant or not a dwelling unit.
- **Segment Folder**—Each segment with sampled units has a separate folder. This folder contains the following items:
 1. **Census Map**—This is a large map of the area that provides you with the segment boundaries. This map is a copy of a portion of the official Census Bureau Map for the area.
 2. **Segment and Tract Maps**—These are detailed maps that were used by the listers. You will use it to help locate the segment in which you will be interviewing.
 3. **Lister's Map**—This is a detailed map drawn by the lister if a situation in the segment needs further description.
 4. **Listing Sheets**—This form was used during the listing phase to record the addresses of all dwelling units in the segment. It will help locate the sampled dwelling unit.

- **U.S. Public Health Service Car Sign**—This laminated color card is placed on the dashboard of the interviewer's car and is used to identify them as a representative of the U.S. Public Health Service.
- **Language Identification Card**—This card is displayed to the respondent when a language other than English is used in the household. The respondent self identifies the household language by placing a check mark next to their spoken language.
- **Sorry I Missed You Card/Call Back Card (English and Spanish)**—This card is left when no one is at home at a sampled address. It briefly describes the study and tells the respondent that you will return.
- **Nonresponse Card**—This card must be thoroughly completed for any nonresponse situation associated with the extended interviews, Dust Collection process or examination appointment process. A list of the Call Record Result codes as well as nonresponse reason codes are printed on the back of the card.
- **School Excuse Form**—This form, upon request, will be prepared in the field office and can be presented to the school, explaining the nature of the survey and the need to examine the SP.
- **Certificate of Appreciation (English and Spanish)**—This certificate will be sent by the FO to each SP in the household after s/he has scheduled an examination appointment. It is signed by the Assistant Secretary of Health, Surgeon General, U.S. Public Health Service and the Director, National Center for Health Statistics.

2.1.4 Materials for Organization and Recordkeeping

These materials are designed to help you organize your work when you are in the field and to maintain accurate records for reporting your production, time, and expenses. They consist of the following:

- **Interviewer Time and Expense Report**—This report is your means of reporting hours worked in order to receive the correct pay. You will submit it to your supervisor on a weekly basis.
- **Trip Expense Report**—This report is your means of reporting your eligible travel expenses and your living allowance. You will submit it to your supervisor on a weekly basis.
- **Interviewer Conference Report**—This is a computer-generated list of all cases assigned to you and the current status of those cases. You will use this report to review your work during your regular conference with the study manager.

2.2 Preparing for the Field

Each day, before you go into the field, check over your supplies. Make sure you take with you all the necessary materials so that you will not have to return home or to the stand office to pick up certain items or begin an interview and discover that you do not have the necessary materials. (Always inventory your supplies when you visit the stand office.) Also make sure your materials are organized. Shuffling through your materials in the midst of an interview may cause unnecessary delays and give the respondent an unfavorable impression of you and the survey.

The following is a list of the items you should **always** take with you in the field. Keep in mind that if you are a bilingual interviewer and expect to encounter Spanish speaking respondents in your current assignment, you should also take the Spanish versions of the appropriate forms listed below.

- Pentop computer and carrying case;
- ID badge;
- Advance letters;
- Confidentiality Brochures;
- Screener Brochures;
- Newspaper Flyers;
- NHANES Data Uses Sheet;
- Household Interview Consent Forms;
- Dust Collection Kits;
- MEC Exam Brochures including MEC Consent/Assent Forms;
- Future Research Consent/Assent Forms;
- Prelabeled Household Folders and Neighbor Information Forms for all cases you plan to work on that day;
- A watch with a second hand;
- Blank Household Folders;
- Appropriate Segment Folder(s) for cases you plan to work on that day;

- Hand Cards (2 sets);
- A copy of the Field Office Appointment Calendar;
- Appointment for Examination Slips (four versions);
- Sorry I Missed You/Call Back Cards;
- Authorization for Transportation Arrangements for Persons Under 16 Years of Age;
- Nonresponse Cards;
- Sharpened No. 2 lead pencils;
- Black ink pen;
- NHANES at a Glance; and
- Interviewer Manual and CAPI Manual (kept in car for reference).

Whenever you are in the field and leave your car, make sure it is locked. Keep all materials (case folders and your pentop when it is not in use) out of sight (e.g., locked in the trunk of your car).

2.3 Receiving and Reviewing Your Assignments

Throughout the field period you will receive assignments from your supervisor. Assignments will be made by segment. Each assignment will consist of the following:

1. A **Household Folder** containing a computer-generated Household Assignment Label. This label will be attached to the front of each Household Folder and will identify the location of the dwelling unit to be contacted.
2. A **Neighbor Information Form/Screeners Non Interview Form**. The front page of this form contains a box that provides the written household sampling instructions needed to select SPs.
3. A **Segment Folder** containing a census map, segment and tract maps, sketch maps, and listing sheets. These maps and forms provide further information to help in locating assigned dwelling units.
4. An **Interviewer Conference Report**. After the cases have been assigned to you, they will be downloaded onto your pentop and will appear on your CAPI List of Cases on your pentop. This list can be accessed by turning on your machine, entering your password, tapping twice on the "Interview Management" icon and tapping once on the

"Interviews" tab. A hard-copy Conference Report is printed using information from the List of Cases.

When you receive an assignment:

- Check the address on the Household Folder Assignment Label of each sampled dwelling unit with the address recorded on the Listing Sheet. The procedure for this is explained in Chapter 3; and
- Check the Household ID and address on the Household Case Identification Label with those listed on your pentop List of Cases or your Interviewer Conference Report to ensure you have the correct number of cases and that all identifying information for each case matches. The procedure for producing the Interview Conference Report is explained in Chapter 12.

If you encounter any discrepancies, notify your supervisor before leaving the field office.

As part of your assignment, you will be provided with various hard-copy blank survey documents. Each time you use one of these documents, be careful to record on the front cover the case number from the Household Folder Assignment Label. Once a document is used, that document should be kept in the corresponding Household Folder. In addition, you will receive blank Household Folders to be used if you find missed dwelling units (this procedure will be explained in Chapter 5).

Before accepting your assignment of cases, always check through the addresses to see that none of them are addresses of friends or relatives. It is a general rule that you should never interview a friend or relative. If you receive such a case, return it to your supervisor. (If you do not realize that this case is a friend or relative's address until you leave the office, do not complete any work on it. Return it in to your supervisor during your next conference.)

2.4 Planning and Scheduling

It is important to plan your schedule in a way that allows you to spend large blocks of time in the field. The amount of time you spend locating, contacting, screening, and interviewing during a day should greatly exceed the amount of time it takes you to get to a segment to work.

To keep your travel time to a minimum, your supervisor will try to assign you cases that are clustered in one part of the stand. After completing part of your assignments, however, you may find that

your remaining households are more scattered. To make efficient use of your time, it will then become particularly important for you to carefully plan your schedule before you go into the field. As you plan your route keep in mind any family or SP interview appointments you have made and organize your time so that you can contact as many households as possible between appointments.

When setting out to contact a household at which you have already made a previous attempt, review the Household Folder (see Chapter 5) for any notes you made on the earlier try. They will give you clues as to the best time to make your next attempt.

Study the contact procedures described in Chapter 6 before planning your work schedule.

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3. LOCATING THE DWELLING UNIT AND MAKING CONTACT

This chapter provides the basic information you will need to locate the sampled dwelling unit, to introduce yourself and explain the purpose of your contact, and to answer any questions respondents might have.

3.1 Definition of a DU

Your assignment consists of an address at which you first administer a short screening interview to determine if any member of the household is eligible to participate in the study. Screeners should be conducted only at addresses that qualify as Dwelling Units (DUs). Therefore, it is your responsibility to make sure that the assigned address is: (1) a DU, and (2) only one DU. In most cases, a DU will be easy for you to define, that is, a DU will be an apartment, a detached house, one house in a row of houses, half a duplex, etc. Sometimes, however, you will encounter structures where it is difficult to determine what constitutes a DU. Examples of these types of structures might be rooming houses, resident hotels, or houses that have been divided up into multifamily residences. The following definition explains in detail how to determine whether a residence is a DU.

A DU is a group of rooms or a single room occupied as separate living quarters, that is, when the occupants do not live and eat with any other person in the structure

AND

when there is direct access from the outside or through a common hall or area.

Also regard as DUs vacant groups of rooms and vacant single rooms that are intended for occupancy as separate living quarters.

Examples of Types of DU

Although the box above provides our definition of a DU, the concept of a DU can better be illustrated by the following examples of typical places that have been listed as DUs for this survey

(remember that this list is merely illustrative and may not include some places that would qualify as DUs):

- **A single house** that is intended for occupancy by only one family.
- **A multiple-family house** containing more than one DU. (You often need to refer to the definition of a DU to determine the correct number of DUs in such places.)
- **A flat or apartment** in a structure that includes other flats or apartments.
- **A basement or attic apartment.** These may occur in any of the types of structures described earlier.
- **Vacant houses or apartments** that could be occupied.
- **A room in a nonresidential structure** where there are no other rooms occupied or intended for residential occupancy. Thus, if there is one room in a warehouse that the caretaker uses for his living quarters, such a room qualifies as a DU.
- **A mobile home or trailer** that is used as the permanent residence of the occupants and not just as their vacation residence.
- **A mobile home or trailer location** in a trailer lot or mobile home park in which numbered or otherwise specified spaces are rented. In such a mobile home park, each separate space allocated for one mobile home is listed as a DU, even if no mobile home currently occupies the space—that is, an empty space in a regular mobile home park is treated like a vacant apartment or house.
- **Hotel or motel rooms** that are:
 - Occupied by permanent guests; or
 - Occupied by employees who have no permanent residence elsewhere.
- **Work camps** occupied by seasonal workers. If a worker occupies a unit for 6 months or more of the year, that unit is considered a permanent DU, as long as the unit satisfies the other requirements of a DU.
- **Seasonal dwellings**, such as summer homes, resort cottages, or other part-time homes that **currently serve as permanent residences**, are considered DUs. An example of a residence that could be permanent is one that is heated where heat would be required. However, if someone lives permanently in an unheated DU, it should be included.

Since it is difficult to determine without inquiry whether a seasonal unit currently serves as a permanent residence, seasonal dwellings are listed, unless:

- They are used for overflow sleeping quarters for the main house, in which case they are considered part of the main house; or
 - They fit the definition of vacation cabin given under examples of structures that are not DUs.
- **Rooms within institutions** (hospitals, penal institutions) that **serve as the permanent residence of a staff member**, and that satisfy the requirements of the DU definition. For example, an apartment that serves as a permanent residence for a houseparent in a college dormitory would be listed as a DU.
 - **DUs located on Indian reservations.**
 - **Housing on military bases** qualify as DUs unless the project specifies otherwise. NOTE: Military barracks and bachelor officers' quarters (BOQs) do not meet the definition of a DU.
 - **Time-share apartment units** meet the definition of a DU and should be listed.
 - **Model homes** if construction has been completed. Although they are not occupied, they meet the definition of a DU.
 - **Noninstitutional group quarters** are those housing units where nine or more persons unrelated to the person in charge live and eat together. Examples of noninstitutional group quarters are college dormitories and fraternity/sorority housing, rooms occupied in rooming and boarding houses, missions, communes, and workers' dormitories, monasteries, convents, group homes for the mentally or physically impaired, and halfway houses for drug/alcohol abuse, and maternity homes for unwed mothers.

Examples of Structures That Are Not DUs (Special Places)

Below is a list of units that, with the exception of **permanent** DUs of staff members located within them, do **not** qualify as DUs. If you are in doubt as to whether or not a structure qualifies as a DU, you should call your supervisor before contacting the unit.

Some examples of institutions that are not DUs include the following:

- **Unoccupied buildings** that have been condemned or that are being demolished.
- **Transient hotels or motel rooms** that are rented on a daily or short-term basis and are not intended for permanent occupancy.

- **Places of business** (stores, factories) but be sure to look for hard-to-find living quarters behind or above or inside business places.
- **Vacation cabins** include a group of five or more cabins owned and operated under a single management. These cabins must be clustered together and rented or intended for rent and identified by a sign on the property where they are located. If they do not meet these requirements, they are DUs. However, if you discover a permanent residence within the cluster of cabins, for example, the permanent residence of a resident manager or owner, this is a DU.
- All institutional group quarters. Examples:
 - Military barracks and bachelor officers quarters (BOQ);
 - Correctional institutions;
 - Hospitals;
 - Homes for aged;
 - Nursing homes; and
 - Juvenile institutions.

If you find that the assigned address is not a DU according to the guidelines here, you must complete a Vacant/Not a DU Form, which is the top half of the Screener Non-Interview Form. Instructions for completing this form are discussed in Chapter 10.

If you find that the assigned address includes **more than one DU**, you may need to follow special procedures. These are the Missed DU Procedures discussed in Chapter 12.

3.2 Locating the Dwelling Unit (DU)

Your assignment will usually consist of one or more segments. A segment is a geographical area with definite boundaries within a county or PSU. The size of a segment may vary from one block in an urban area to several square miles in a rural area. After receiving your assignment, you will need to locate the addresses of selected DUs within the segment. There are three basic steps to follow in doing this:

- Step 1:** **Locate the Segment:** Using maps of the area, you should identify the exact location of the segment.
- Step 2:** **Locate the Selected Address:** The address of the selected DU appears on the front page of the Household Folder in the Household Assignment Box. The addresses for all selected DUs within your assigned segment will also appear on the list of assigned cases on your pentop computer.
- Step 3:** **Determine Whether Selected Address is a DU:** Generally a selected address is clearly a DU (for example, a single-family house or an apartment in a multi-unit structure). Whenever you think a selected address may not qualify as a DU, you must refer to the DU definition to see if the selected address fits the description.

In conducting survey research studies, the procedure called sampling is used to select part of a group to represent the entire group. The selected part is called the sample. In drawing a sample, scientific probability methods are used in the home office to select a number of geographic areas called Primary Sampling Units (PSUs). Then within each PSU, smaller geographic areas called segments are chosen to be in the sample. In some studies, all the addresses in a segment will fall into the sample and in others only some of the addresses will be sampled. In both cases, in order to draw a proper sample of addresses, all of the addresses in the segment must be identified and **listed**.

The first stage of field operations is completed by a "Lister". The lister identifies and records the addresses of households (or descriptions and locations of households if they do not have addresses) on listing sheets.

The lister uses Tract maps and Segment maps (computer generated maps) to locate the area in which he or she is to work and records addresses within the specified area on the Listing Sheets. All the work the lister completes is placed in a Segment Folder.

The lister sends his or her work to the Westat home office where statisticians select certain households from the households recorded on the Listing Sheets for the interviewing phase of the study. You will receive all the work of the lister (Tract maps, Segment maps and Listing Sheets) in his or her Segment Folder for the segment in which you are assigned to work.

These will be copies of the original Listing Sheets and maps used by the listers when they recorded the addresses of all DUs in the segment. The Listing Sheets will designate the sampled

addresses you are to contact, as well as help you locate them. The following sections further explain how to locate DUs using the Listing Sheets and other materials in the Segment Folder.

3.2.1 How Listing Sheets are Completed

An understanding of how addresses were entered on the sheets by the listers will help you to use the Listing Sheets to locate the DUs you have been assigned. Listers followed these two basic rules:

- Listers began at the northwest corner of the segment and recorded **all** of the residential addresses they encountered while traveling in a clockwise direction around the segment. They proceed around a segment, always turning right when the opportunity presents itself, thus listing each block in the segment.
- The lister lists only those DUs on the right, listing in sequence, and travels down every block in the segment, being sure to remain within the segment boundaries.

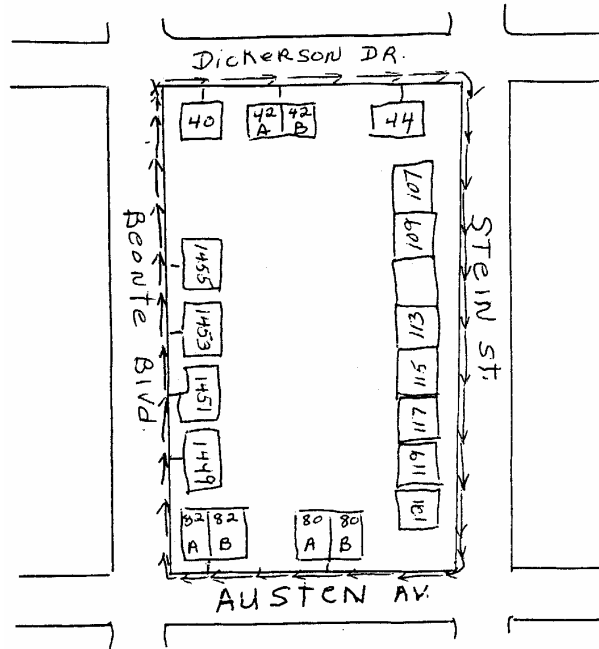
Exhibit 3-1 and Exhibit 3-2 on the following pages show how the listers proceeded in a typical urban segment and a typical rural segment. The listers began in the northwest corner and proceeded to record all DUs in the segment as shown on the Listing Sheet.

3.2.2 Using the Household Assignment Label to Locate the Address on the Listing Sheet

When all listings were completed, Westat's Sampling Department reviewed the listings and selected the sample DUs you will be contacting. During this process, sample DUs were assigned Household ID numbers. The Household ID appears in the Household Assignment Label on the front of the Household Folder. This Household ID number can also be found on the Listing Sheet. The Household ID consists of up to nine digits that provide the following information:

- **Stand Number**—This is the first three digits of the Household ID. This code identifies your area and should appear on all forms and communications with the office.
- **Segment Number**—This code identifies the segment within the stand. It is one or two digits.
- **Serial Number**—This code, along with the stand and segment numbers, uniquely identifies every DU in the sample. It is one to four digits.

Exhibit 3-1. Typical Urban Segment



Listed: Jack Smith

MAILING INFORMATION FOR SEGMENT

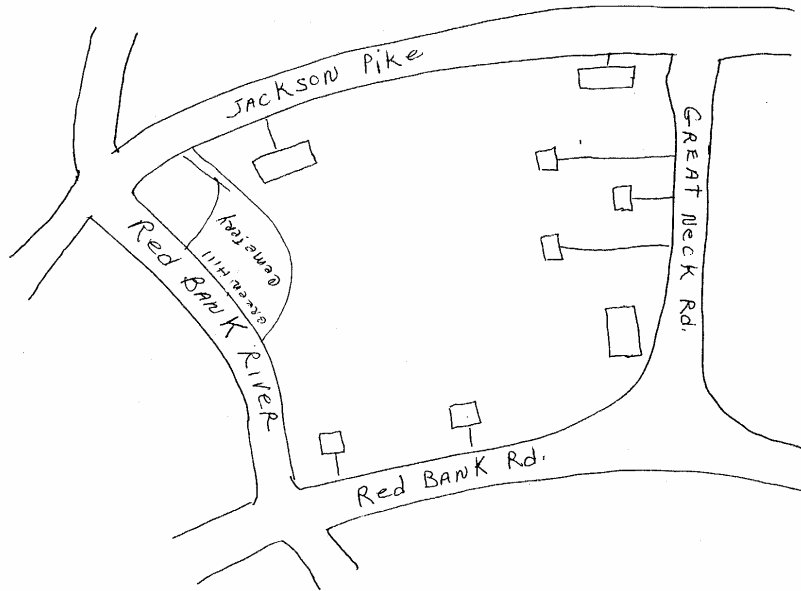
City (Township, etc.): Temple State: TX

Zip Code: 76798-1161-1413144

NHANS IV
MAIN LISTING SHEET

(a) Office Use Only	(b) Line #	(c) Pre Dir.	(d) Street Name	(e) Street Type	(f) Post Dir.	(g) House #	(h) Apt. #	(i) Rural Route #	(j) Rural Route Box #	(k) Space or Lot #	(l) Secondary Address
	1		DICKERSON	DR		40					
	2					42	A				
	3					42	B				
	4		↓	↓		44					
	5		STEIN	ST		107					
	6					109					
	7					110 ⁺					Between 109 And 113
	8					113					
	9					115					
	10					117					
	11					119					
	12		↓	↓		121					
	13		AUSTEN	AV		80	B				
	14					80	A				
	15					82	B				
	16		↓	↓		82	A				
	17		BEONTE	BLVD		1449					
	18					1451					
	19					1453					
	20		↓	↓		1455					

Exhibit 3-2. Typical Rural Segment



Listed: JACK Smith
 MAILING INFORMATION FOR SEGMENT
 City (Township, etc.): Temple State: TX
 Zip Code: 76781-1710

NHANES IV
 MAIN LISTING SHEET

(a) Office Use Only	(b) Line #	(c) Pre Dir.	(d) Street Name	(e) Street Type	(f) Post Dir.	(g) House #	(h) Apt. #	(i) Rural Route #	(j) Rural Route Box #	(k) Space or Lot #	(l) Secondary Address	(m) If Grp. Qtrs. (✓)
	21		Jackson	Pike		NO #					2 STY. WHITE FRAME COVERED FRONT PORCH W/7 POSTS	
	22		↓	↓							1 1/2 STY. NATURAL WOOD 2 SKYLIGHTS	
	23		GREAT NECK	Road							1 STY. GRAY WOOD GARAGE ON R	
	24		↓	↓							2 STY. BRICK, GREEN ROOF	
	25		↓	↓							WHITE POST ON PORCH	
	26		Red BANK	Road		↓					LONG BRICK RANCH	
	27		↓	↓		NO #					DOUBLE CHIMNEY	
	8										1 STY. BRICK w/ GARAGE	
	9										1 STY BRICK, Red ROOF	
	0										CHIMNEY	
	1											
	2											
	3											
	4											
	5											
	6											
	7											
	8											
	9											
	0											

Exhibit 3-3 shows how the Household ID and address printed on the Address Label enable you to locate the sampled DU on the Listing Sheet. The "Stand Number" is found in the right hand corner of the Listing Sheet. The "Segment Number" is directly below the "Stand Number" on the listing sheet. The serial number uniquely identifying the sampled household is in column (a) of the listing sheet next to the sample household address. Note only sampled households are identified with serial numbers on the listing sheet.

The address of the sample DU that appears on the Listing Sheet also appears in the Household Assignment Box on the front of the Household Folder. (Where no address is indicated, refer to the Listing Sheet and the segment maps to locate the DU.) Be sure the address and serial number on the Listing Sheet and the address and Serial Number on the front of the Household Folder agree. If there is any discrepancy, notify your supervisor before working on the case.

3.2.3 Using the Lister's Material to Locate a DU

In urban areas, you usually should have little difficulty locating the DU using the address that is printed on the address label. However, occasionally DUs may not have an address or the address may be insufficient to locate the DU.

In such a situation, you will have to refer to the Listing Sheets and the maps in the Segment Folder to locate the DU. By referring to the Listing Sheet, you will know the addresses of those DUs that are located on either side of the sampled unit.

In the instance that referring to the Listing Sheet does not help, check the Segment Map to find out the order in which the streets in the segment were listed. Then, using the Listing Sheets, follow the order that the DUs were originally listed. By doing this, you should be able to locate the sampled DU within the listing sequence.

Exhibit 3-3. Example of Address Label

Stand: 998 Seg: 1 Serial: 116
 8801 Rosemark CT
 Deal M 20879
 MISSED DU:
 Check for any DUs in this building
 which are not on the listing sheet.

Poster: P. C. C. C.
 MAILING INFORMATION FOR SEGMENT
 City (Township, etc.): Deal State: MD
 Zip Code: 20741

NHANES
 MAIN LISTING SHEET

Page 1 of 12
 PSU: 998
 Segment: 01

(a) Office Use Only	(b) Line #	(c) Pre Dir.	(d) Street Name	(e) Street Type	(f) Post Dir.	(g) House #	(h) Apt. #	(i) Rural Route #	(j) Rural Route Box #	(k) Space or Lot #	(l) Secondary Address	(m) If Grp. Qtrs. (v)	(n) Description of Location/Remarks
116	1		Rosemark	CT		8801							
	2					8803							
	3					8805							
117	4					8807							
	5					8809							
118	6					8811							
	7					8813							
119	8		Rosemark	CT		8815							
	9		Drexel Hill	CT		1901							
120	10					1903							
	11					1904							
	12					1905							
121	13					8224							
	14					8225							
	15					8227							
122	16		Drexel Hill	CT		8228							
	17		Rustler	ST		45							
124	18					46							
	19					47							
125	20		Rustler	ST		48							

3.2.4 Maps Included in the Segment Folder

Included with your assignments, you will be given maps that were used during the listing phase. There are three types of maps you will be given:

- Segment Maps, detailing the boundaries of the segment;
- Tract Maps, pinpointing the segment location within the surrounding area; and
- Hand Drawn Lister's Maps (if any), detailing more complex blocks within the segment.

These maps will be included in the Segment Folder. An example of each is presented in Exhibits 3-4, 3-5 and 3-6 on the following pages. Also included in the Segment Folder is the Special Instruction and General Comments for the Segment Form (Exhibit 3-7).

3.2.5 Problems Locating the DU

It is a good idea for you to obtain a local map of the area in which you will be interviewing. These can usually be obtained at gas stations, drug stores, or the local Chamber of Commerce. If you ever have trouble locating a sampled DU or a group of sampled DUs, ask for directions. Postal carriers or gas station attendants will usually be able to help you. If this fails, call your supervisor. S/he may be able to help you immediately by referring to the maps that are kept in the stand office.

3.3 Introduction at the Door

Once you have located the DU, you are ready to contact the household. How you present yourself at the door will usually determine success or failure in obtaining an interview. Since this is your first opportunity to describe the survey in such a way that the respondent's interest is stimulated sufficiently to participate in the interview, it is very important that the introduction be positive and friendly. If you can communicate your interest and enthusiasm about the survey and the interview, the respondent will view it as a pleasant and worthwhile experience.

Exhibit 3-4. Segment Map with Directional Arrows

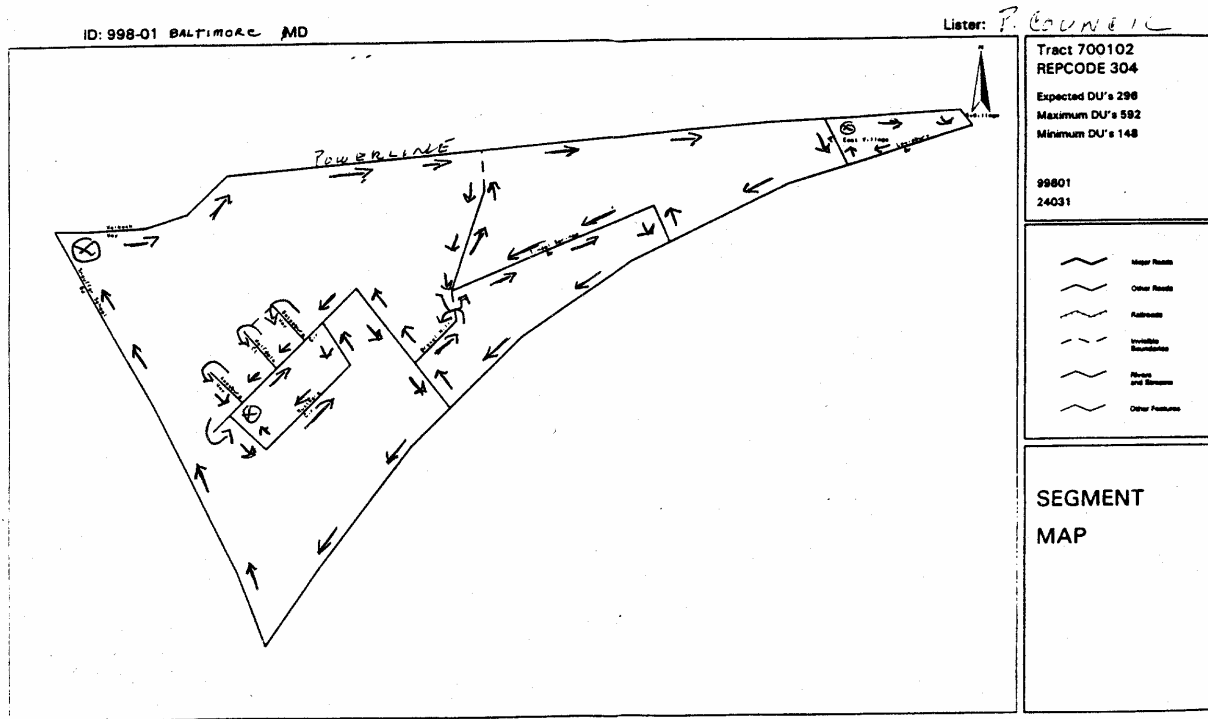
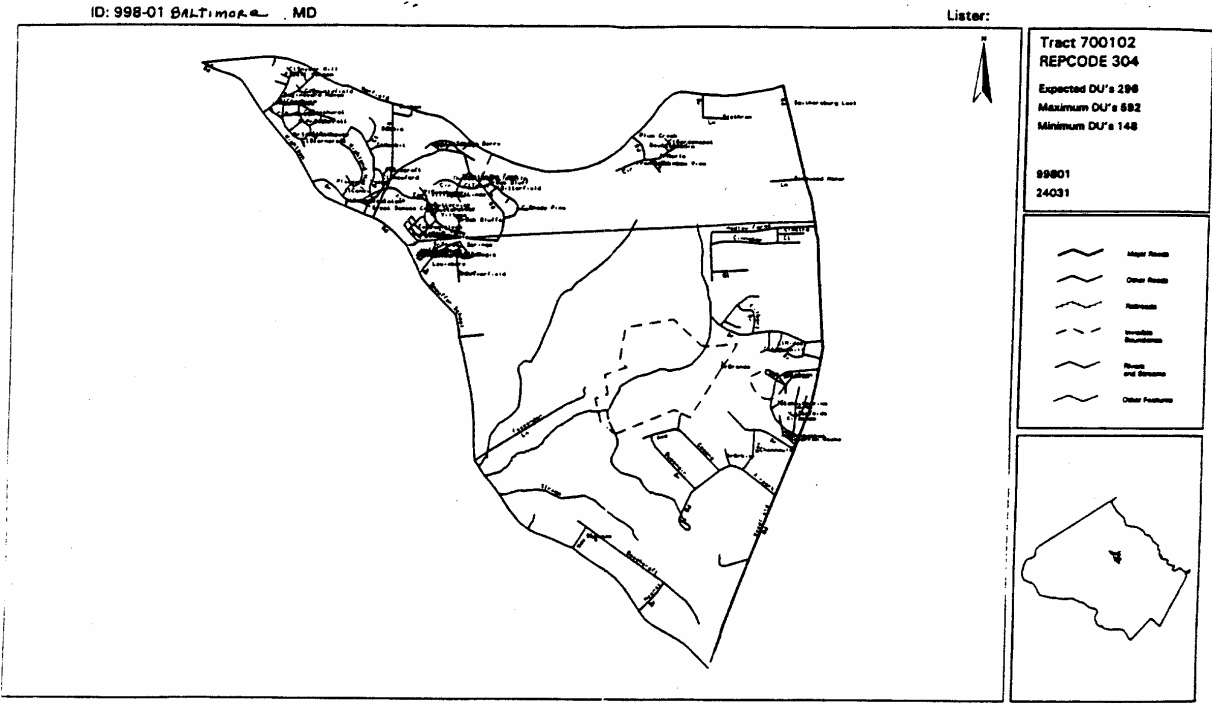


Exhibit 3-5. Tract Map



N
↑ 998-01

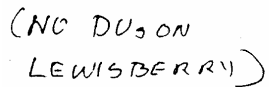


Exhibit 3-7. Special Instruction and General Comments for the Segment Form

**SPECIAL INSTRUCTION
AND GENERAL COMMENTS
FOR THE SEGMENT**

SEGMENT #: 116

SPECIAL INSTRUCTIONS:

- ☒ THIS IS A SPLIT SEGMENT
- ☐ WITHIN THIS SEGMENT IS AT LEAST ONE SECTION (DOUGHNUT) THAT SHOULD NOT BE LISTED
- ☐ UNABLE TO DETERMINE ONE OR MORE BOUNDARY NAMES
- ☐ PLEASE OBTAIN LOCAL MAP FOR CLARIFICATION

GENERAL COMMENTS

*No parking in front of most
addresses. Very dense area. There are
lots of apartments especially in the
Helenbrook area.*

A brief introduction is printed on the first screen of the computer-assisted personal interview (CAPI) Screener. You must use this introduction whenever you make contact with a household. It has been designed to let the respondent know immediately

- Who you are,
- What you are doing, and
- Why you are there.

INTRODUCTION: Hello, I'm _____ and we are conducting a survey for the U.S. Public Health Service (**SHOW ID BADGE**). A letter was sent to you recently explaining the survey, which is called the National Health and Nutrition Examination Survey and is about your family's health. **[IF RESIDENT DOES NOT REMEMBER LETTER, HAND NEW COPY.]** All the information that you give us will be kept in the strictest confidence. Your name will not be attached to any of your answers without your specific permission.

If the respondent indicates that s/he wants to know more about the privacy of his/her answers, you should access the "confidentiality statement" available by clicking on the HELP icon at the Screener Introduction screen. This statement appears below.

Information will be collected under authority of Section 306 of the Public Health Service Act (42 USC 242k) with a guarantee of strict confidence. Section 308(d) of the Public Health Service Act (42 USC 242m) and the Privacy Act of 1974 (5 USC 552a) state that we are forbidden to release any information that identifies you or your family to anyone, for any purpose, without your consent.

Public reporting burden for this collection of information is estimated to average 6.6 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to CDC/ATSDR Reports Clearance Officer, 1600 Clifton Road, MS D-24, Atlanta, GA 30333, ATTN: PRA (0920-0237).

When reading the introduction, you should always show your ID badge and have a copy of the advance letter (see Exhibit 3-8) and the Screener Brochure (see Exhibit 3-9) ready to give to the respondent. These will help offset possible suspicions about your identity or purpose and overcome reservations the respondent may have about being interviewed.

The Screener has been designed to be administered at the doorstep. However, if you have established rapport with the respondent, it may be administered inside the respondent's home.

Exhibit 3-8. Advance Letter



National Health and Nutrition Examination Survey



You or a member of your family may have a chance to take part in an important national health survey.

The National Center for Health Statistics, a part of the Centers for Disease Control and Prevention, is responsible for this survey—the National Health and Nutrition Examination Survey. This survey teaches us about the health and diet of people in the United States. Over the years, this survey has led to changes in the foods we eat and the health care we receive.

In the next few weeks, one of our interviewers will visit your home. She or he will show you official U.S. Public Health Service identification and ask some short, easy questions about you and other family members. This interview will take only a few minutes of your time. The purpose of these questions is to see if you or a member of your family will be asked to participate in the survey. Answering the questions is completely voluntary, and you may choose not to answer any questions. I assure you there will be no penalties or loss of benefits of any kind from refusing to answer.

If you or other household members are chosen, we hope you will participate in the survey. You will be among the many people in towns and cities across the country who help us increase our knowledge about the health of people in the United States.

This survey is a Federal program authorized by the Public Health Service Act. All of your answers will be kept in strict confidence. We will use this information only for statistical research and reports. Your answers will be added to others, so no one can identify which are yours.

Thank you in advance for helping.

Sincerely,

A handwritten signature in black ink, appearing to read "Ed J. Sondik".

Edward J. Sondik, Ph.D.
Director

P.S. If you have questions call George Zipf of my staff at 1-800-452-6115.
The call is free, and we would be happy to answer your questions.

SAFER • HEALTHIER • PEOPLE™

DEPARTMENT OF HEALTH AND HUMAN SERVICES
Centers for Disease Control and Prevention
National Center for Health Statistics



National Health And Nutrition Examination Survey

NHANES

NATIONAL HEALTH AND NUTRITION EXAMINATION SURVEY

What is the National Health and Nutrition Examination Survey?

The National Health and Nutrition Examination Survey (NHANES) is a study conducted by the National Center for Health Statistics – a Federal agency that gathers health data for the United States.

For more than 40 years, we have had short interviews around the country in homes like yours. We use these short interviews to choose some households to take part in the survey. The survey includes more detailed interviews and physical exams for some people in each household. The exams are conducted in mobile centers that are located in the communities selected for the survey.

From NHANES, we learn about the health of people in the United States. We find out about dental health, hearing and vision, and the kind of nutrition each person has. We take body measurements, such as height and weight, and look for certain diseases and health conditions.

We use the data to solve health problems, to develop health programs, and to improve the quality of health care.

The current NHANES began in 1999. It is now an on-going program and will go to locations in all parts of the United States.

How will I recognize the survey interviewer?

The person who comes to your home will have an official identification card from the National Health and Nutrition Examination Survey, Centers for Disease Control and Prevention. His or her photo will be on the card.

How was I chosen for the interview?

Because we cannot talk to everyone in the country, we choose certain households to represent many others. To do this scientifically, we begin by selecting certain counties or cities. Then in these areas, we choose smaller areas such as blocks. Finally, we select a few houses within the small areas.

The people who live in these houses make up a “sample” of the people in the counties and cities chosen. We do not know who lives in any of the houses before we arrive to conduct the interview.

Your home has been chosen to take part in the short interview that we use to decide who will take part in this NHANES.

How do I know that information about me will be kept confidential?

We respect your privacy. Public laws keep all information you give confidential.

We will hold all data we collect in the strictest confidence. We gather and protect all information according to requirements of Federal Laws: The Public Health Service Act (42 USC 242k) authorizes collection and Section 308(d) of that law (42 USC 242m) and the Privacy Act of 1974 (5 USC 552A) prohibit us from giving out information that identifies you or your family without your consent, even if a court of law asks for it. We will keep all survey data safe and secure. When we allow researchers to use survey data, we protect your privacy. We assign code numbers to replace names or other facts that could identify you.

We combine your answers with those from thousands of other people. We report survey findings in percentages and totals to protect the privacy of those who took part in the survey.

We appreciate your talking with our survey interviewer. By taking part in this survey, you will help add to our information about the health of people living in the United States.

For more information about the survey, you may visit our web site at
<http://www.cdc.gov/nhanes>

3.3 Answering the Respondent's Questions

Although in most cases the introduction is all you will need to gain the respondent's cooperation, there will be times when you will have to answer questions before you begin the interview. A respondent's questions indicate interest and concern. You should be prepared to answer in ways that respond to that interest and concern.

Listen to the respondent's questions and answer by providing only the information needed to remove the respondent's doubts about you or the survey. In other words, make your answers brief and to the point. Do not volunteer extra information or unnecessarily lengthy explanations. Unasked for information may be misunderstood and confuse the respondent.

It is extremely important that you be thoroughly familiar with the purpose of the survey so that you can answer questions accurately. You should also be familiar with the contents of the advance letter and screener brochure so that, when appropriate, you can point out the written answers as you respond to questions.

If you don't know the answer to a question, admit that you don't know it. Continue with the interview but volunteer to have your supervisor call to talk with the respondent if the respondent wants you to.

The Obtaining Respondent Cooperation Manual includes questions respondents will frequently ask about the survey and suggested answers.

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4. ADMINISTERING THE INTERVIEW

4.1 The Household Screening Interview

At each sample dwelling unit you will conduct a screening interview to identify the sample persons (SPs) to be enrolled in the study. This screening is done using computer-assisted personal interviewing (CAPI). Data from previous NHANES indicate that approximately half of all screening interviews are conducted "at the doorstep". Consequently, the CAPI Screener application has been designed for easy use while you are standing outside the sampled dwelling unit. SPs are selected for the study primarily based on demographic information, including gender, age, ethnicity, race, income, as well as pregnancy status. The sampling program to identify SPs will automatically be run on your computer. If no SPs are identified, CAPI will classify the case as having no SPs, and no further interviewing will take place at that dwelling unit. If SPs are selected, CAPI will instruct you about who to interview.

4.1.1 Content of the Screening Interview

The CAPI screening instrument provides a record of individual household members and has four primary stages as follows:

1. Enumeration of all people living in the household;
2. Classification of these persons by the various categories—gender, ethnicity, race, age, pregnancy status and when appropriate, income;
3. Selection of SPs;
4. Collection of contact information.

The Screener also serves several other important purposes:

- Provides an introduction for the interviewer to use at the door; and
- Assures confidentiality of the information obtained by the interviewer.

One Screener will be loaded on your pentop for each address in your assignment. You will also receive a hard-copy Household Folder (Chapter 5) and a Neighbor Information Form (Chapter 10)

for each address. You must complete a CAPI Screener for each dwelling unit in your assignment regardless of whether anyone in the household is eligible for the main survey.

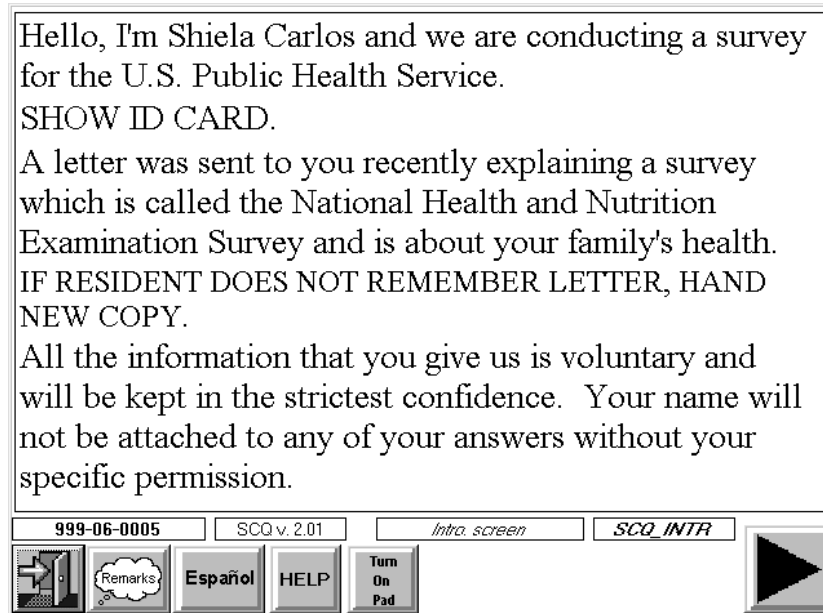
4.1.2 Eligible Screener Respondent

An eligible Screener respondent must be a **knowledgeable adult household member at least 18 years old or an emancipated minor** (a person under 18 who lives only with persons under 18 or who has been married). It may be necessary to determine whether or not the person to whom you are speaking is actually a household member, using the rules for household membership in Section 4.1.3.6. The Screener respondent will need to provide accurate information about everyone who lives in the household: their ages, race/ethnicity, and, if appropriate, pregnancy status.

NHANES has an English and Spanish version of the CAPI screener. In addition, the NHANES interviewing team includes bilingual (English/Spanish) interviewers. If you encounter a situation where a Spanish language screener is needed for an SP, return the case to your supervisor. If you start a screener with an SP, who you believed to be bilingual, and find they have difficulty with the questions or concepts, stop the interview. Explain to the SP that we have Spanish speaking interviewers and set an appointment to have the screener completed in Spanish, and return the case to your supervisor. If you encounter a situation where the SP only speaks another language (i.e., Chinese, French, Japanese, etc.), or does not speak enough English to conduct the interview, present the respondent with a Language Identification Card so they may identify the spoken household language. Also, try to find a household translator or a friend or neighbor to assist in the conduct of the interview. This translator should be age 18 or older. If you cannot find an appropriate translator, discuss the case with your supervisor.

4.1.3 Screener Specifications

4.1.3.1 Introduction







Use the paragraph on this screen when you are at the door to introduce yourself. During this initial contact, show your ID badge and have available the advance letter (in case the respondent does not recall or did not receive a letter) and the Screener Brochure, which explains the study.

4.1.3.2 Notice of Confidentiality and Burden Statement

Information will be collected under authority of Section 306 of the Public Health Service Act (42 USC 242k) with a guarantee of strict confidence. Section 308(d) of the Public Health Service Act (42 USC 242m) and the Privacy Act of 1974 (5 USC 552a) state that we are forbidden to release any information that identifies you or your family to anyone, for any purpose, without your consent. Public reporting burden for this collection of information is estimated to average 6.6 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to CDC/ATSDR Reports Clearance Officer; 1600 Clifton Road, MS D-24, Atlanta, GA 30333, ATTN: PRA (0920-0237).

Access this screen by tapping once on the "HELP" button at the introduction screen. It contains a statement of confidentiality and a public reporting burden notice. Read these statements to the respondents only when necessary.

4.1.3.3 Dormitory Room

INTERVIEWER: IS THIS A DORMITORY ROOM?			
<div><input type="radio"/> Yes</div> <div><input type="radio"/> No</div>			
501-01-0004	SCQ v. 3.00	dormitory	SCQ027
		Español	<div>Turn On Pad</div> <div>DK</div> <div>RF</div> <div></div> <div></div>

Students who live in dorm rooms will skip some subsequent screener questions. They will not be asked if they have a home somewhere else because these individuals should be sampled at their present location (the dorm room). Further, questions about income are not asked of students living in dorm rooms. Income information gathered from these individuals tends to be imprecise. The income of these individuals are often quite low; however, they are frequently supported by their parents. Also, students rarely know their roommates income.

4.1.3.4 Address Verification

I would like to verify your address. Please give me your complete address.

19907 DREXEL HILL CR
GAITHERSBURG MD 20879

☐ NO (WRONG ADDRESS)
☐ YES (CORRECTIONS)
☒ YES

600-01-0006 SCQ v. 1.6 verify addr. SCQ070a

Turn On Pad

This question requires you to listen to the address given by the respondent and check it against information displayed at the top of the screen. Ask this question to be sure you are interviewing at the correct dwelling unit. If the address given by the respondent is **exactly** the same as the address displayed on the screen, code YES.

If the respondent provides a **minor** address correction, code YES (CORRECTIONS). CAPI will allow you make the correction in the appropriate address field. The answer fields you can change are shaded. A typical minor address correction is a change to the ZIP code. Notice that the cursor rests on the Street #. This is because you will probably not use the “Additional Address Line” field very often. This line is for additional address information such as the name of a dormitory or apartment building.

To make a correction, place your cursor in the field and, with your keypad turned off, tap “clear”. Turn your keypad on and correct any errors in the address. Several fields have drop down lists to make it easier to record information. Remember, your drop down lists do not work when your keypad is on. **NOTE: If a respondent provides a correction to the street address number or name or an addition of an apartment number, be sure you are at the correct address.** If you are at the wrong address, code NO – WRONG ADDRESS. CAPI will go to the end of the Screener and you will need to locate the correct dwelling unit.

I would like to verify your address. Please give me your complete address.

19907		DREXEL HILL	CR		
#	Dir Pre	Street Name	st/rd/ave	Dir Post	Apt #
		GAITHERSBURG	MD	20879-	
PO Boxno	RR#	RR Box	City	State	Zip

600-01-0006 SCQ v. 1.6 *addr. correction* SCQ070b

NHANES is a longitudinal study. The address information you verify/collect in this question will be critical in tracking respondents. Please keep in mind the importance of accurate address information and verify and record all data very carefully.

4.1.3.5 Household Composition Questions

The next series of questions is designed to provide a record of individual household members. The information collected in this series will obtain a complete list of all persons living or staying in the dwelling unit, identify and delete nonhousehold members, and obtain the gender of each person.

Since the first objective of these questions is to obtain a complete listing of all household members, let us review some definitions of "household" and "household membership."

Rules for Determining Household Members

Household—The entire group of persons who live in one dwelling unit. It may be several persons living together or one person living alone. It includes the household reference person (defined on page 4-11) and any relatives living in the unit. The household may also include roomers, employees, or other persons not related to the reference person.

Household member—Consider the following categories of persons in a dwelling unit as members of the household.

- Persons, whether present or temporarily absent, whose **usual place of residence** at the time of interview is the dwelling unit.
- Persons staying in the dwelling unit who have no usual place of residence elsewhere. Usual place of residence is ordinarily the place where a person usually lives and sleeps. A usual place of residence must be specific living quarters held by the person to which s/he is free to return at any time. Living quarters that a person rents or lends to someone else cannot be considered his/her usual place of residence during the time these quarters are occupied by someone else. Likewise, vacant living quarters that a person offers for rent or sale during his/her absence should not be considered his/her usual place of residence while s/he is away.
- Special situations regarding household membership. You may encounter certain situations where household membership is unclear. Below are guidelines for handling these situations. You may have to ask enough probe-type questions so that you can determine the actual situation, and therefore, make the proper decision as to household membership.
 1. **Families with two or more homes**—Some families have two or more homes and may spend part of the time in each. For such cases, the usual residence is the place in which the person spends the largest part of the calendar year. Only one unit can be the usual residence. For example, the Browns own a home in the city and live there most of the year. They spend their summer vacation at their beach cottage. Neither house is rented in their absence. By our rule, then, their home in the city is their "usual residence" because they spend the majority of the year there.
 2. **Students and student nurses**—Any student away at school, college, trade, or commercial school in another locality will be interviewed in the locality where they are attending school. That is, even if a student considers his/her parents' home to be their usual residence, consider him/her to be a household member where presently residing. Consider a student to be a household member of his/her parents' home only if s/he is home for the summer vacation and has no usual residence at the school.

3. **Seamen**—Consider crew members of a vessel to be household members at their home rather than on the vessel, regardless of the length of their trips and regardless of whether they are at home or on the vessel at the time of your visit (assuming they have no usual place of residence elsewhere).
4. **Members of Armed Forces**—Consider members of the Armed Forces (either men or women) as household members if they are stationed in the locality and usually sleep in the dwelling unit, even though no health information will be obtained for them.
5. **Citizens of foreign countries temporarily in the United States**—Determine whether to interview citizens of foreign countries staying at the sample unit according to the following rules:
 - Do not interview citizens of foreign countries and other persons who are living on the premises of an embassy, ministry, legation, chancellery, or consulate.
 - List in the questionnaire and interview citizens of foreign countries and members of their families who are living in the United States and are not on the premises of an embassy, etc. This applies only if they have no usual place of residence elsewhere in the United States. However, do not consider as household members foreign citizens merely visiting or traveling in the United States.
6. **Persons with two concurrent residences**—If a person has two concurrent residences, ask how long the person has maintained them, and consider the residence in which the greater number of nights was spent during that period as the person's usual place of residence.
7. **Persons in vacation homes, tourist cabins and trailers**—Interview persons living in vacation homes or tourist cabins and trailers if they usually live there or if they have no usual residence anywhere else. Do not interview them if they usually live elsewhere.
8. **Inmates of specified institutions**—Persons who are inmates of certain types of institutions at the time of interview are not household members of the sample unit. They are usual residents of the institution and are out of scope for this survey.
9. **Families within the household with separate living quarters**—If, in addition to a "typical family group" (i.e., parent(s) and unmarried children or two or more unmarried siblings) there are additional relatives in the household, ask if they all live and eat together as one family. If they do, treat them as a single family. If any of the persons say they live separately from the others, determine if they have either separate cooking equipment or separate direct access to the dwelling. If either of these conditions apply, consider them as living in a separate household. If there is a "Missed DU" message on the front of the Household Folder, you will need to follow the instructions described in Chapter 12.

Household Composition Question Specifications

Total Number of Persons in the Household

To begin, how many people live in this household?

4

600-01-0006 SCQ v. 1.6 HH count SCQ090

Turn On Pad DK RF

At this screen enter the number of people given by the respondent. If you learn later that the number you entered here is incorrect, you are not required to correct this item to agree with the number of persons you have entered on the household membership roster.

Identifying a Reference Person (Householder)

What is the first and last name of the person or one of the persons who owns or rents this home and usually lives here?

#	First Name	Middle Name	Last Name	Suffix	Gender
1	JULIAN		DRAKE		

600-01-0006 SCQ v. 1.6 enum. ref. pers. SCQ100

Turn On Pad DK RF

The purpose of this question is to establish a "reference person" in order to make the subsequent questions easier to ask and to later arrange household members into family units. The **reference person** is:

The first household member 18 years or older mentioned by the Screener respondent who is "the person or one of the persons who owns or rents the dwelling unit." If no household member occupying the dwelling unit owns or rents the unit, the reference person is the first household member mentioned who is 18 years of age or older.

On rare occasions, you may encounter **dwelling units occupied entirely by persons under 18 years old**. When this occurs, use the following rules to designate the reference person:

- If one of the household members owns or rents the sample unit, designate that person as the reference person.
- If more than one household member owns or rents the sample unit, designate the oldest owner/renter as the reference person.
- If none of the household members owns or rents the sample unit, designate the oldest household member as the reference person.

Recording Names on the Household Composition Roster

The space allotted for household member names on the screens is divided into separate response fields. This is done to encourage the accurate recording of names.

Always try to enter a first and last name. Enter a middle name if it is volunteered.

Obtain **unique** names for all household members. Two person in the household may have the same first and last name. For example a father and son may both be "David Hill." In this example a unique qualifier must be added to one or both of the names to distinguish them. That unique qualifier may be a suffix, such as "Jr" or "Sr" or it may be a middle name.

DO NOT ASSUME MEMBERS OF THE FAMILY HAVE THE SAME LAST NAME.

As mentioned previously, middle names or initials are not required during the screening process unless they are needed to record a unique name. For example, the mother in the household is Maria Teresa Vega and the daughter is Maria Elena Vega. You should probe and enter a middle name or initial for each of these women to get a unique name. If there are two persons in the family with the same complete name, they must then be further identified by indicating "Sr" or "Jr" in the field labeled SUFFIX.

Do not record parts of a last name in the middle name field. In some instances a woman may use her maiden name as part of her last name (i.e., Sharon Pratt-Dixon). Do not enter her maiden name in the middle name field.

REMEMBER TO VERIFY THE SPELLING OF ALL NAMES. Even "Smith" can be spelled in a variety of ways (i.e., Smyth, Smithe, etc.).

Hispanic Surnames

Hispanics often use conventions for recording full names other than those you may be familiar. It is important that these names be recorded accurately and within the appropriately designated box on the household membership roster.

Since a significant portion of the NHANES sample is Hispanic, review some of these conventions and the methods you use to record names on the household membership roster.

1. Father's last name followed by a hyphen followed by mother's maiden name (e.g., Sanchez-Gomez).

Both last names should be placed in the "Last Name" field.

2. Father's last name followed by mother's maiden name with no hyphen.

Both last names should be placed in the "Last Name" field leaving a space between the names (e.g., Sanchez Gomez).

3. "De", "de la", or "del" as part of a surname.

When a woman marries, she may append her husband's last name preceded by "del", "de" or "de la" meaning "of" or "of the" (Maria Vacario de Sanchez). Some men's names may also contain these words (e.g., Manuel de la Puente).

In this case all of these names should be entered in the "Last Name" field. Using the example above, "Vacario de Sanchez" would be entered in the "Last Name" field. Again, remember to leave appropriate spacing between name parts.

4. "De", "de la", or "del" as part of a middle name.

In some cases a woman may have a middle name (e.g., Maria del Carmen, Maria de la Concepcion) that is preceded by "de" or "de la". For the most part these middle names have a religious origin or connotation. When you are uncertain about the correct recording of such names, probe to determine whether to record a name as a middle or last name. Space names appropriately.

5. In a few cases female respondents will use their father's, mother's, and husband's surnames and their father's surname. For example, Maria Luisa Gonzales-Rodriguez de Martinez.

In this case "Gonzales-Rodriguez de Martinez" should be entered in the "Last Name" field. Space names appropriately.

You are not expected to become an expert on the use of Hispanic surnames. Just be aware that there are several possible conventions in use. Make an effort to enter all names in the correct boxes. If you are unsure how to enter a name, ask the respondent how it should be recorded.

On rare occasions a respondent may refuse to provide a name. If this happens, enter the first person as SP1, the second as SP2; continue this sequence until all household members are entered.

Enter the gender of the reference person. [Note: CAPI will not allow you to move forward until you have entered the reference person's gender. You may enter names using the following procedures:]

- Tap on the button at the bottom of the screen labeled "TURN ON PAD". A small red light will flash, indicating the key pad is turned on.
- When the keypad appears, the cursor will be in the first name field. Type in the first name by tapping on the appropriate letters and tap on "OK" on the keypad. The keypad will disappear, however, it will continue to be functional.
- To see the keypad, tap on the next entry field (Middle or Last name) and the keypad will reappear, enabling you to make further entries.
- When you no longer need the keypad, tap on the button labeled "TURN OFF PAD".
- To enter identical last names, simply tap on the "Repeat" button on the keypad. This will duplicate the last name entered directly **above** the empty last name field.
- You may also enter first and middle name and suffix by using the drop down lists that appear when you tap on the small arrow next to the entry field. However, the keypad must be turned off to activate these lists.

The names of the other household members obtained through the household composition questions will be recorded consecutively on the screens that follow.

CAPI will skip a number of household composition questions if only one person lives in the household.

Identifying All Person in the Household on the Household Membership Roster

The CAPI screens are designed to enter persons on the household roster in the following preferred order. The reference person, persons **related** to that person in descending age order, and unrelated persons.

Persons Related to the Reference Person

And the other members of this household who are related to Jane Banks : What are their names? By related, I mean by blood, marriage or a marriage like relationship. Please include adopted and foster children.
Do not include students living away at school. Let's begin with the oldest. PROBE: Any others?

#	First Name	Middle Name	Last Name	Suffix	Gender
1	JANE		BANKS		F
2					

501-01-0004 SCQ v. 3.00 enum. other. HH rels. SCQ130

Remarks E Delete Row HELP Turn On Pad DK RF Insert Row

This roster screen is intended to obtain the names of the household members who are related to the reference person. Notice the line "Do not include students living away at school". By adding this line, we hope to prevent the enumeration of students who may be thought of as living with their parents, but are actually living at school. Remember, we will administer the Screener to students at their residence at school.

The number of lines that will appear initially on this roster will equal the number of persons you have entered as living in the household in a previous question. You can add or delete lines using the INSERT ROW and DELETE ROW buttons at the bottom of the screen.

By "**related**," we mean all persons living in the household who are related to the reference person by blood, marriage, or adoption. This includes members of the immediate family, such as mother,

father, son, daughter, as well as members of the extended family, such as granddaughter, grandson, uncle, aunt, niece, and nephew. Stepparents, stepchildren, daughters-in-law and sons-in-law are relatives through marriage and, therefore, should be considered as members of the same family. Although not related by blood, marriage, or adoption, any foster children or godchildren of the reference person who are living in the household should be treated as part of the reference person's family.

Be sure the respondent includes himself/herself as one of the family members if s/he has not been listed as the reference person but is related to the reference person.

Persons in the Household Unrelated to the Reference Person

Are there any other persons not related to Julian Drake living in this household? (What are their names?)
 PROBE: Any others?

#	First Name	Middle Name	Last Name	Suffix	Gender
1	JULIAN		DRAKE		M
2	PAULA		DRAKE		F
3	JEREMY		DRAKE		M
4	MELANIE		DRAKE		F

600-01-0006
SCQ v. 1.6
enum. H/H non-rels.
SCQ140

➡
Remarks
HELP
Delete Row
Turn On Pad
DK
RF
Insert Row
⬅
➡

For purposes of the study, unrelated persons are considered as members of separate families. For example, a husband and wife, living with an unrelated caretaker and his wife, constitute two separate families. A family can consist of only one person.

You will ask a series of questions in the Relationship Questionnaire (see Section 4.2) to determine all relationships of persons in the household to the Reference Person and relationships of persons **not** related to the reference person to each other. If there are persons living in the household who are unrelated to the reference person, CAPI will group them into "family units." After you have

completed the Screener and Relationship Questionnaire, CAPI will create a separate Family Questionnaire in your assignment for each family in the household containing at least one SP.

First Review of Household Membership Roster

I have 2 people living here ...
[READ NAMES LISTED BELOW.]

#	First Name	Middle Name	Last Name	Suffix	Gender
1	JANE		BANKS		F
2	DEBRA		QUINCE		F

501-01-0004


SCQ v. 3.00

sweep intro

SCQ145

CAPI will display the names of each household member you have listed on the household membership roster as an introduction to the next question. Read the question as written inserting the names of all household members displayed by CAPI. Be sure to use the scroll arrow if necessary to view all the names listed.

"Household Membership "Sweep" Questions

Have I missed ...	
... any babies or small children?	<input type="radio"/> Yes <input type="radio"/> No
... any lodgers, boarders, or persons in your employ who live here?	<input type="radio"/> Yes <input type="radio"/> No
... anyone who usually lives here but is now away from home?	<input type="radio"/> Yes <input type="radio"/> No
... anyone else living or staying here?	<input type="radio"/> Yes <input type="radio"/> No
600-01-0006 SCQ v. 1.6 sweep kids SCQ150	
	

This series of questions serves as a reminder to the respondent about persons who may have been overlooked.

Begin reading the first question by mentioning the names of all the household members you have recorded. If the respondent answers "YES" to any of these sweep questions and you determine that the person mentioned usually lives in the household, tap on the YES response and the household membership roster will appear. You will then use the INSERT tab to add a line to the roster and record the person's name and gender. Always probe for anyone else before continuing to the next question. When entering names of babies or small children, a probe will appear on the screen prompting you to ask for a **unique** name ("Junior," "Senior" or "the Third").

[Have I missed anyone else living or staying here?]
 (What are their names?)
 PROBE: Any others?

#	First Name	Middle Name	Last Name	Suffix	Gender
1	JULIAN		DRAKE		M
2	PAULA		DRAKE		F
3	JEREMY		DRAKE		M
4	MELANIE		DRAKE		F

999-15-0008 SCQ v. 2.01 enum. missed else SCQ180N

*Insert Row
Confirm?*

☒ Yes
 ☐ No

[Have I missed anyone else living or staying here?]
 (What are their names?)
 PROBE: Any others?

#	First Name	Middle Name	Last Name	Suffix	Gender
1	JULIAN		DRAKE		M
2	PAULA		DRAKE		F
3	JEREMY		DRAKE		M
4	MELANIE		DRAKE		F
	ALLYSON		MARCUS		

999-15-0008 SCQ v. 2.01 enum. missed else SCQ180N

Reviewing the Household Roster

[VERIFY HOUSEHOLD MEMBERS BY READING NAMES LISTED BELOW.]					
#	First Name	Middle Name	Last Name	Suffix	Gender
1	JANE		BANKS		F
2	DEBRA		QUINCE		F

501-01-0004 SCQ v. 3.00 *enum. summary* SCQ190

Home Remarks E Delete Row Turn On Pad DK RF Insert Row Left Arrow Right Arrow





The intent of this interviewer instruction is to ensure the collection of complete listing of all household members during the initial screening. By summarizing/repeating the listing for the respondent, we hope to avoid Screener errors involving the correct listing of household members.

Read the names of all the household members displayed by CAPI. Be sure to use the scroll arrow to view all the names on the roster if you need to. If the respondent mentions another person at this point, probe to see if he or she usually lives in the household.

If an error is discovered (e.g., too many/few persons listed, gender incorrect), make the appropriate changes to the roster by using the INSERT ROW and the DELETE ROW tabs. After adding or deleting persons, read the members of the household again to the respondent to make sure you have listed all persons correctly. This question is extremely important in establishing household membership. Except in cases of clear interviewer error, no corrections can be made to the household composition after the initial screening.

If there is any doubt about a person's membership in the household, contact your supervisor before you continue with the Screener.

Identifying Persons With Other Homes

Do any of the persons in this household have a home anywhere else? STUDENTS LIVING AWAY AT SCHOOL ARE CONSIDERED TO HAVE A HOME SOMEWHERE ELSE.					
<div><input type="radio"/> Yes <input type="radio"/> No</div>					
501-01-0004	SCQ v. 3.00	HH other home		SCQ195	
		Español	HELP	Turn On Pad	DK RF
					

This question is designed to verify that all persons recorded as residing in the household are household members as defined in Section 4.1.3.6. The interviewer instruction is designed to clarify how to treat students away at school, if they have been enumerated. If you receive a "YES" response to this question ("have other home"), CAPI will display a list of all person in the household with a column labeled OTHER HOME and prompt you to ask, "Who is that?"

(Who is that?)
 SELECT MEMBERS WITH HOME ELSEWHERE.
 PROBE: Anyone else?

Name	Other Home
Julian Drake	
Paula Drake	Yes
Jeremy Drake	No
Melanie Drake	
Allyson Marcus	

600-01-0006 SCQ v. 1.6 pers. other home SCQ200

Turn On Pad DK RF

Enter a "YES" in the corresponding field for each person who has been identified as having another home. CAPI will automatically fill the response field for those persons who do not have another home with a response of "NO."

Where does Eduardo Aguila-Rodrigas usually live and sleep; here or somewhere else?

Name	Live Here
Raul Aguila-Rodrigas	HERE
Eduardo Aguila-Rodrigas	









601-01-0001 SCQ v. 1.7 military live here SCQ240

English HELP Turn On Pad DK RF

CAPI will then display a question to determine where each person you have recorded as having another home usually lives and sleeps. The responses for the column LIVE HERE will be blank

for each person. You will have two response options: "HERE" and "SOMEWHERE ELSE." **Ask this question and enter responses for each appropriate person.** If you determine that any person you have recorded as having another home usually lives and sleeps somewhere else, enter "SOMEWHERE ELSE" for that person. This will automatically eliminate the person from the household roster and the remainder of the questions.

Military Status

Are any of the persons in this household now on full-time active duty with the Armed Forces of the United States?	
<div><input type="radio"/> Yes</div> <div><input type="radio"/> No</div>	
600-01-0006	SCQ v. 1.6
HH military	
SCQ220	
	
	
	
	

This question is asked in all households, regardless of the household members' age or gender.

"Active duty in the Armed Forces" means full-time active duty in the U.S. Army, Navy, Air Force, Marine Corps, or Coast Guard, and any National Guard unit presently activated as part of the regular Armed Forces. Included in "active duty" is the 6-month period a person may serve in connection with the provisions of the Reserve Forces Act of 1955.

Do not count the following persons as members of the Armed Forces:

- Persons working in civilian positions for the Armed Forces;
- Persons serving in the Merchant Marine;

- Persons in a National Guard unit not activated as part of the regular Armed Forces;
- Civilians who train only part time as reservists; and
- Persons who are in any reserve component of the Armed Forces but who only attend weekly reserve meetings, summer camp, or the like.

(Who is that?)
 PROBE: Anyone else?
 SELECT ACTIVE MILITARY MEMBERS.

Name	Military
Julian Drake	<div style="background-color: blue; height: 15px; width: 100%;"></div>
Paula Drake	<div style="background-color: black; height: 15px; width: 100%;"></div>
Jeremy Drake	<div style="background-color: black; height: 15px; width: 100%;"></div>
Melanie Drake	<div style="background-color: black; height: 15px; width: 100%;"></div>
Allyson Marcus	<div style="background-color: black; height: 15px; width: 100%;"></div>

600-01-0006
SCQ v. 1.6
pers. military
SCQ230

If you receive a "YES" response to the military question, CAPI will display a list of all persons in the household with a column labeled MILITARY, and prompt you to ask, "Who is that?" For each person identified, enter a "YES" response. CAPI will automatically fill a response of NO for those persons who are not on full time active duty with the military.

CAPI will then display a question to determine where the person usually lives and sleeps. The responses for the column labeled LIVE HERE will be blank. For each person you are required to enter one of two response options: HERE and SOMEWHERE ELSE. If you determine that any person you have recorded as active military usually lives somewhere else, select the response SOMEWHERE ELSE for that person.

Information about military status and where a person in the military usually lives is essential for determining whether the Armed Forces member may be a reference person or family head, which is possible if the person lives at home (even though s/he cannot be an SP). [See item (4) under household

member—Section 4.1.3.6.] An active military person who usually lives somewhere else is not considered a member of the household and will automatically be removed from the household membership roster.

Interviewer Review Household Composition

THESE ARE THE MEMBERS OF THE DU WHO HAVE BEEN LISTED AS HH MEMBERS.


Name	Gender
Julian Drake	M
Paula Drake	F
Jeremy Drake	M
Melanie Drake	F
Allyson Marcus	F


600-01-0006


SCQ v. 1.6


HH summary


SCQ250











CAPI displays a list of all persons you have entered as household members for your review. This list need not be read to the respondent unless you have any doubt about a person's household membership. Review the entries to be sure that you have the correct listings. If you need to change the recording of a name or gender, or if you need to add or delete a person from the roster at this point, you must back up to one of the questions containing a household membership roster to make the correction using the INSERT ROW or DELETE ROW buttons at the bottom of the screen.

In asking the entire set of household composition questions, you may learn that your original ordering of household members was incorrect.

If the person on the first line was deleted because he or she is not a household member, s/he is no longer considered the "reference person." For example, if person 1 is in the Armed Forces and does not live at home, CAPI will consider the next household member 18 years of age or older listed on the roster as the reference person.

4.1.3.6 Ethnicity and Race Questions

SHOW CARD 1..

Do any of the groups on this card represent Julian Drake's national origin or ancestry?
IF "YES", PROBE: Which group?

Name	Ethnicity
Julian Drake	
Paula Drake	
Jeremy Drake	
Melanie Drake	
Allyson Marcus	

600-01-0006 SCQ v. 1.6 ethnicity SCQ260

Turn On Pad DK RF

SHOW CARD 1..

Do any of the groups on this card represent Julian Drake's national origin or ancestry?
IF "YES", PROBE: Which group?

Name	Ethnicity
Julian Drake	
Paula Drake	Mexican-American or Mexican
Jeremy Drake	Other Hispanic or Latino
Melanie Drake	Both Mexican & Other Hispanic
Allyson Marcus	Not Hispanic

600-01-0006 SCQ v. 1.6 ethnicity SCQ260

Turn On Pad DK RF

It is very important to accurately obtain for each household member whether s/he belongs to one of the Hispanic groups listed on Show Card 1 illustrated below. Since Mexican-Americans/Mexicans are one of the special target groups for this study, this series is particularly interested in identifying persons who classify themselves as such.

National Origin and Ancestry is the national or cultural group from which the person is descended, as determined by the nationality or lineage of a person's ancestors. There is no set rule as to how many generations are to be considered in determining origin. A person may report his/her origin based on a parent, grandparent, or some far removed ancestor.

Show Card 1.	Mexican
	Mexican-American
	Other Hispanic or Latino

Note the following definitions for Show Card 1.

1. Mexican and Mexican American refer to anyone of Mexican birth or descent. They refer to anyone who may call themselves "Mexican, Mexican American, Chicano or Tex-Mex."
2. Other Hispanic or Latino refers to anyone who says they were born in or had ancestors from Spain or one of the western hemisphere territories or countries (excluding Mexico) where Spanish is the primary language (e.g., Puerto Rico, Nicaragua, El Salvador, Dominican Republic, Colombia, Peru, etc.).

Begin this question by showing Show Card 1 to the respondent and allowing the respondent to indicate if any group on the card represents the household member's national origin or ancestry. If the household member is Hispanic, code the response that corresponds to the particular group named by the respondent.

3. Both Mexican and Other Hispanic or Latino refers to anyone who says that they are of Mexican descent and are also Other Hispanic or Latino. (For example: "My mother is from Mexico and my father is from Puerto Rico, so I am both Mexican and Puerto Rican.") Note that in this instance the person will be classified as Mexican American/Mexican for sampling purposes.
4. Not Hispanic refers to anyone who is not Mexican, Mexican American or Other Hispanic or Latino.

ASK IF NECESSARY: CODE ALL. What Latin American or Spanish country does Allyson Marcus or Allyson Marcus's ancestors come from? PROBE IF NECESSARY: Which country best represents Allyson Marcus's main national origin or ancestry. IF CATEGORY/COUNTRY NOT LISTED, CODE "NOT HISPANIC".	
Allyson Marcus	<div> <div></div> <div>Argentina</div> <div>Bolivia</div> <div>Chile</div> <div>Colombia</div> <div>Costa Rica</div> <div>Cuba</div> </div>
600-01-0006	SCQ v. 1.6
<div> <div></div> <div>Remarks</div> <div>HELP</div> <div>Delete Row</div> <div>Turn On Pad</div> <div>D</div> </div>	

If a household member is identified as only "Other Hispanic or Latino," a probe question will appear for the specific nationality or country of origin. Tap on the arrow key within each response field to see a comprehensive list of countries in alphabetical order for selection.

If the respondent has trouble selecting **one** country, use the probe that appears on the screen: "Which country best represents your **main** national origin or ancestry?" If the respondent still cannot choose one country, CAPI will allow for multiple entries to this question. In this case you are required to add another "ethnicity" row for the person by using the INSERT ROW button.

Also note that "Mexico" is one of the countries on this list. If indeed the respondent says "Mexico," the person will be classified as Mexican American/Mexican for sampling purposes.

If the respondent mentions a country that **is not** on the list, select the response category NOT HISPANIC. This category appears at the end of the list. In this instance, the respondent will be classified as "Not Hispanic" for sampling purposes.

CAPI requires that you ask the ethnicity question for each person before moving on to the next person.

Ethnicity Review Screen

Ethnicity information is critical to sampling. It is extremely important that ethnicity information, as reported by the respondent, is entered correctly. CAPI will list the ethnicity you have entered for each person. This should not be read to the respondent unless you have any doubt about a person's response. Review the entries to be sure you have entered them correctly. If you find you have made an error in one of your entries, you must back up to the screen containing the question about ethnicity and change your entry.

WARNING: REVIEW ETHNICITY FOR EACH PERSON!
SAMPLING ALGORITHM WILL BE APPLIED.







Name	Ethnicity
Julian Drake	Not Hispanic
Paula Drake	Not Hispanic
Jeremy Drake	Not Hispanic
Melanie Drake	Not Hispanic
Allyson Marcus	Other Hispanic or Latino

600-01-0006

SCQ v. 1.6

ethnicity summary

SCQ262



Race Questions

SHOW CARD 2.

What race do you consider Julian Drake to be?
Select one or more.

Julian Drake

- ☐ American Indian or Alaska Native
- ☐ Asian
- ☐ Black or African American
- ☐ Native Hawaiian or Other Pacific Islander
- ☐ White
- ☐ Other

600-01-0006 SCQ v. 1.6 race SCQ270

Navigation buttons: [Previous], [Remarks], [HELP], [Turn On Pad], [DK], [RF], [Next], [End]

This question is asked of all household members. Race is based on identification **by the respondent**. Hand the respondent Show Card 2. Remember to read the **entire** question, including the phrase "select one or more." Do **not** suggest answers to the respondent and do **not** try to explain or define any of the groups. Check the response that corresponds to the person's race. If multiple races are mentioned, check all reported.

CAPI requires that you ask the race question for each person and tap the "Next" button before moving on to the next person.

Race Review Screen

Race information is critical to sampling. It is extremely important that race information, as reported by the respondent, is entered correctly. CAPI will list the race(s) you have entered for each person. This should not be read to the respondent unless you have any doubt about a person's response. Review the entries to be sure you have entered them correctly. If you find you have made an error in one of your entries, you must back up to the screen containing the question about race and change your entry.

WARNING: REVIEW RACE FOR EACH PERSON! SAMPLING ALGORITHM WILL BE APPLIED.	
Julian Drake	<input checked="" type="checkbox"/> Black or African American
Paula Drake	<input checked="" type="checkbox"/> Black or African American
Jeremy Drake	<input checked="" type="checkbox"/> Black or African American
Melanie Drake	<input checked="" type="checkbox"/> Black or African American
Allyson Marcus	<input checked="" type="checkbox"/> White


600-01-0006	SCQ v. 1.6	race summary	SCQ271
	Remarks	HELP	Turn On Pad






4.1.3.7 Birth Date and Age

Ask for each household member's birthdate. You should use the appropriate drop down list to enter responses in this screen. (Note: Turn off your key pad first.) Select the month, day, and year from the drop down list. If you cannot get the exact date, enter the approximate date. If only the year is known, enter "DK" for both month and day, then enter the year.


If month, day, and year of birth have been entered, CAPI will calculate and display the person's age based on the birthdate information you have entered. Since age is one of the sampling criteria, CAPI requires you to verify this age with the respondent.






What is Julian Drake's birthdate?

#	Name	DOB			Age Yrs
1	Julian Drake		/		
2	Paula Drake		/		
3	Jeremy Drake		/		
4	Melanie Drake		/		
5	Allyson Marcus		/		

600-01-0006	SCQ v. 1.6	DOB	SCQ290				
		HELP		DK	RF		

What is Julian Drake's birthdate?

#	Name	DOB			Age Yrs
1	Julian Drake		/		
2	Paula Drake	Jan	Feb	Mar	
3	Jeremy Drake	Apr	May	Jun	
4	Melanie Drake	Jul	Aug	Sep	
5	Allyson Marcus	Oct	Nov	Dec	

600-01-0006	SCQ v. 1.6	DOB	SCQ290				
		HELP		DK	RF		

What is Julian Drake's birthdate?

#	Name	DOB	Age Yrs
1	Julian Drake	May / <input type="text"/> / <input type="text"/>	
2	Paula Drake	/ <input type="text"/> / <input type="text"/>	1 2 3 4 5 6 7
3	Jeremy Drake	/ <input type="text"/> / <input type="text"/>	8 9 10 11 12 13 14
4	Melanie Drake	/ <input type="text"/> / <input type="text"/>	15 16 17 18 19 20 21
5	Allyson Marcus	/ <input type="text"/> / <input type="text"/>	22 23 24 25 26 27 28
			29 30 31

600-01-0006 SCQ v. 1.6 *DOB* SCQ290

Turn On Pad DK RF

What is Julian Drake's birthdate?

#	Name	DOB	Age Yrs
1	Julian Drake	May / 12 / <input type="text"/>	
2	Paula Drake	/ <input type="text"/> / <input type="text"/>	199
3	Jeremy Drake	/ <input type="text"/> / <input type="text"/>	198
4	Melanie Drake	/ <input type="text"/> / <input type="text"/>	197
5	Allyson Marcus	/ <input type="text"/> / <input type="text"/>	196
			195
			194

600-01-0006 SCQ v. 1.6 *DOB* SCQ290

Turn On Pad DK RF

What is Julian Drake's birthdate?

#	Name	DOB			Age Yrs
1	Julian Drake	May	12	193	
2	Paula Drake				
3	Jeremy Drake				
4	Melanie Drake				
5	Allyson Marcus				

600-01-0006 SCQ v. 1.6 DOB SCQ290

Remarks HELP Turn On Pad

So Julian Drake is age 68?
IF NECESSARY, RE-ENTER CORRECT AGE.

#	Name	DOB			Age Yrs
1	Julian Drake	May	12	1930	68
2	Paula Drake				
3	Jeremy Drake				
4	Melanie Drake				
5	Allyson Marcus				

600-01-0006 SCQ v. 1.6 DOB SCQ290

Remarks HELP Turn On Pad DK RF

CAPI will allow you to change the age entered in this field. When this happens, CAPI will display a message indicating that the date of birth is being changed and will automatically recalculate the date of birth to correspond to the age change.

*The date of birth year is
being changed.*



If you have any doubt about birthdate or age information, reconcile your entries with the respondent before you continue. If the respondent does not know the person's birth date, but only his/her age, enter DK for the month day and year. CAPI will then prompt you to enter the person's age. Note if CAPI does not **calculate** the person's age, you will have to use the alpha keypad on the CAPI screen to enter the age.

In rare instances the respondent may not know one of the household members birthday **or** age. In this case DKs should be entered in each response field (month, day, year, and age). CAPI will then display a range of ages for selection.

About how old is Raymond Terez?
IF AGE IS LESS THAN 12 MONTHS, ENTER "0".

#	Name	DOB			Age Yrs
1	Albert Holms	Jul	/	18	/ 1972 26
2	Raymond Terez	DK	/	DK	/ DK
3	Jeffrey Goth		/		

0-11 mn
 1-2 yr
 3-5 yr
 6-11 yr
 12-15 yr

601-01-0005
SCQ v. 1.7
DOB
S

Remarks
Español
Turn On Pad
DK
RF

These ranges will vary based on the sampling criteria for that case. Since sampling is in part based on age, CAPI requires you to select an age range at this point in order to continue with the interview. Ask the respondent to make his/her best "age range" guesstimate.

Age Review Screen

WARNING: REVIEW AGE FOR EACH PERSON!
SAMPLING ALGORITHM WILL BE APPLIED.







Name	Age	Range
Julian Drake	68	
Paula Drake	64	
Jeremy Drake	19	
Melanie Drake	3	
Allyson Marcus	19	

600-01-0006

SCQ v. 1.6

age summary

SCQ301



Age information is critical to sampling. It is extremely important that age information, as reported by the respondent, is entered correctly. CAPI will list the age (or ranges) you entered for each person. This should not be read to the respondent unless you have any doubt about a person's response. Review the entries to be sure you have entered them correctly. If you find you have made an error in one of your entries, you must back up to the screen containing the question about age and change your entry.

Note: If you have entered an age range, the age you see displayed in CAPI will be the number that is the low end of the range.

4.1.3.8 Pregnancy Question

Another special target group for this NHANES is pregnant women. If you have recorded one or more females between the ages of 15 and 39 living in the household, CAPI will display a final question on pregnancy before once again applying the sampling criteria to the case.

If you receive a "YES" response to this question, CAPI will display a list of all females in this age category with a column labeled PREGNANT and prompt you to ask, "Who is that?" The responses in these fields are blank. For each person identified as pregnant, select a "YES" response.

Note: You are not required to enter "NO" for those persons who are not pregnant.

Is anyone in the household pregnant?
IF NECESSARY: We ask this question because the study is interested in collecting information about the nutritional habits of pregnant women.

☐ Yes
☐ No

600-01-0006 SCQ v. 1.6 HH pregnant SCQ302

Remarks HELP Turn On Pad DK RF

(Who is that?)
SELECT PREGNANT MEMBERS.

Name	Pregnant
Allyson Marcus	<div>Yes</div> <div>No</div>

999-15-0008 SCQ v. 2.01 pers. pregnant SCQ303

Remarks Español Turn On Pad DK RF

4.1.3.9 Sampling

This section describes CAPI procedures for selecting SPs. As noted earlier, there are multiple sampling criteria for this study—gender, ethnicity, race, age, pregnancy status, and in some instances, income. At certain points in the Screener, CAPI applies these criteria. Overall, think of sampling during the Screener as a two-step process:

1. After the household roster is completed (persons name and gender), CAPI applies the sampling criteria to determine if any person in the household has a chance of being selected as an SP based on **gender**. If at that point no one has a chance of being selected, CAPI will skip to the ending questions in the interview. An example of this is when the sampling criteria requires that only females are selected and the household is made up of all males.
2. CAPI also applies the sampling criteria after the **ethnicity, race, and age** questions are asked. If at that point no one in the household has a chance of being selected (for example, the sampling criteria requires that only blacks be selected and the entire household is white), CAPI will skip to the ending questions in the interview.

4.1.3.10 Income

Thinking about all sources of income, please tell me whether the total income received by the members of this household during the last 12 months -- that is from December 1998 to November 1999 -- was more or less than \$14,378?
IF INCOME EQUAL TO \$14,378 CODE "LESS".

☐ More
☐ Less

501-01-0004 SCQ v. 3.00 HH low income SCQ340

Remarks Español Turn On Pad DK RF

For sampling purposes, this question will be asked in households identified as White/Other. CAPI samples household members based on age, gender and those meeting the income sampling criteria.

4.1.3.11 Sample Person Selection

If no SPs have been selected, CAPI will display the ending questions for the Screener. If SPs have been selected, CAPI will display a message similar to the one below.

If any key sampling information is missing (either because the respondent does not know or has refused the information), CAPI will display a message indicating to you and the respondent that you will be required to return to the household to obtain this information before CAPI applies the sampling criteria. The Screener cannot be finalized until all key information is obtained. See below.

Thank you.
[EXPLAIN TO RESPONDENT THAT YOU WILL NEED TO RETURN TO THE HOUSEHOLD TO COLLECT CRITICAL INFORMATION THAT WAS NOT PROVIDED THIS TIME.]

601-01-0004 SCQ v. 1.7 SCQ_END4 SCQ_END4

Remarks Español Turn On Pad ◀ ▶

4.1.3.12 Recontact Questions (Mailing Address and Phone Number)

Mailing Address

Is Julian Drake's mailing address the same as his street address?

☐ Yes
☐ No

600-01-0006 SCQ v. 1.6 mail addr. y/n SCQ420

← Remarks HELP Turn On Pad DK RF →

Please give me Julian Drake's complete mailing address?

19907			DREXEL HILL	CR		
#	Dir Pre		Street Name	st/rd/ave	Dir Post	Apt #
			GAITHERSBURG	MD	20879-	
PO Boxno	RR#	RR Box	City	State	Zip	

600-01-0006 SCQ v. 1.6 mail addr. correct SCQ425

← Remarks HELP Turn On Pad DK RF →

You will verify that the address recorded for this dwelling unit is also the mailing address. If so, code YES. If it is not, code NO, and CAPI will display an additional screen that allows you to enter a

new mailing address. As on the street address screen, the cursor rests on the Street #. This is because you will not use the “Additional Address Line” field very often. Remember, this line is for additional address information such as the name of a dormitory or apartment building.

If the R has a PO box, you will need to clear the street #, street name, Apt, and Apt # fields. To clear a field, with your keypad turned off, place your cursor in the field you want to clear and tap “clear”. Correct any error in the address using the drop down list when appropriate. Always verify that the remaining information, city, state and zip code are the same. Remember, your drop down lists do not work when your keypad is on.

Another option available on this screen is the “CLEAR ALL” which gives you the capability of quickly clearing everything if you want to enter a completely new address. Note: When you use the “CLEAR ALL” button, it deletes all address information including state and zip code.

The address you enter here is used to produce a mailing label for the household. The address should look exactly as it would appear on an address label.

NHANES is a longitudinal study. The mailing address information you verify/collect in this question will be critical in tracking respondents. Keep in mind the importance of accurate address information and verify and record all data very carefully.

Telephone Number

Please give me your home telephone number in case my office wants to check my work.

Home Phone () - Ext 00000

☒ No home phone

601-01-0001 SCQ v. 1.7 home phone SCQ430

Remarks Español Turn On Pad

In whose name is the telephone listed?
SELECT NAME FOR TELEPHONE LISTING FROM
HOUSEHOLD ROSTER

Name

Julian Drake
Paula Drake
Jeremy Drake
Melanie Drake
Allyson Marcus
Janet Marcus

999-15-0008 440a

Remarks Español On Pad

The purpose of the question above is to obtain the household telephone number and the name of the person it is listed under. Ask this question in all households, regardless of whether SPs are selected from this household. Notice there is a check box for "NO PHONE." If you enter a phone number, CAPI displays a question to determine in whose name the telephone is listed. CAPI allows you

to pick the name under which the phone number is listed from a list of family members or you may select the option "NOT ON LIST" or "UNLISTED." Be sure to select the name of the person in whose name the telephone is listed with the telephone company.

Is there another number where you can be reached?

Phone # () -


Ext


601-01-0001

SCQ v. 1.7


other phone

SCQ 460







Español



DK

RF





If the family does not have a phone or if phone number is refused, another question will appear asking the respondent for another phone where s/he can be reached and the location of that phone. Note: If there is no other phone where the respondent can be reached, CAPI requires that you use the "DK" or "RF" button in this field before moving forward. Notice that you can check the "NO PHONE" option.

Where is that telephone located?

WORK
RELATIVE'S HOME
NEIGHBOR'S HOME
MOBILE PHONE
OTHER

999-15-0008

SCQ461

Remarks

Español

On Pad

DK

RF

◀

▶

The next screen asks for the location of this other phone.

4.1.3.13 Thank You Screen

Thank you. This household has eligible survey participants.
[READ NAMES BELOW]
[IF APPROPRIATE, EXPLAIN PARTICIPATION IN STUDY TO RESPONDENT.]

Name	Gender	Age
Julian Drake	M	68
Paula Drake	F	64
Jeremy Drake	M	19
Melanie Drake	F	3

600-01-0006 SCQ v. 1.6 SCQ_END? SCQ_END?

Remarks HELP Turn On Pad

The last screen provides a closing statement to be read to the respondent. The text of this closing statement will vary depending on the respondent's answers. If SPs have been selected, CAPI will also display each SP's name.

4.2 The Relationship Questionnaire

Only eligible households (households in which there is at least one SP) will be asked a set of relationship questions. These questions are designed to determine individual household member relationship to the Reference Person and relationships to each other.

The intent of this questionnaire is to divide all household members into individual family units for the purpose of administering the Family Questionnaire. In NHANES, the definition of a family is as follows: An individual or a group of two or more related persons who are living together in the same household; for example, the Reference Person, his/her spouse, foster son, daughter, son-in-law, and their children and the wife's uncle. Also, unmarried couples are considered as belonging to the same family. Additional groups of persons living in the household who are related to each other, but not to the reference person, are considered to be separate families; for example, a lodger and his/her family, or a household employee and his/her spouse, or a single boarder with no one related to him/her living in the household. Hence, there may be more than one family living in the household and a family can consist of only one person.

Note: If the household consists of only 1 person, CAPI will automatically code the Relationship questionnaire as complete and no relationships questions will be asked.

For each separate family (i.e., unrelated to the reference person), a head of the family is determined. All household members related by blood, marriage, or adoption to the head of this separate family are family members.

Examples of Various Household Compositions

Example #	Reference Person	Other household members	# of separate family units
1	Husband	Wife, two sons	1
2	Mother	Son, daughter, daughter's husband and child	1
3	Grandmother	Granddaughter, niece, and roomer	2
4	Roommate #1	Roommate #2, roommate #3	3

Example 1 is straightforward. All household members are related to the reference person, therefore, there is only one family (Family #1) in the household.

Example 2 is also only one family. Even though the daughter's family (her husband and child) live in the household, they are still all related to the reference person and should be considered one family.

In Example 3, there are two separate family units. Family #1 is the grandmother, her granddaughter, and niece. Family #2 is the roomer. Since the roomer is unrelated to the reference person, s/he is considered a separate family, even though it is only one person.

In Example 4, there are three families. Since all three roommates are unrelated, they each constitute a separate family (Family #1, Family #2, and Family #3).

4.2.1 Completion Order for Relationship Questionnaire

The Relationship Questionnaire screens are similar to those used in the Screener in that it is designed to be easily administered "at the door step." Except in **rare** circumstances, this short questionnaire should be asked **directly** after the Screener. CAPI will facilitate this process by providing the opportunity to move directly into the Relationship Questionnaire after the last question in the Screener is answered. An example of the screen facilitating this process appears on the next page.

NOTE: If you have conducted the Screener questionnaire at the door and have found eligible SPs, you know that you will need to conduct a number of additional questionnaires. At this point, we suggest that you **TRY** to continue with the remainder of the interviews, but move to a more comfortable interview setting inside the home.

PERFORM THE RELATIONSHIP INTERVIEW AT THIS TIME?

☐ Yes


☐ No

600-01-0006 SCQ v. 1.6 Do SFQ now? FSQCONT

Turn On Pad

In rare circumstances the Relationship Questionnaire can be administered during another interview session after the Screener is completed. For example, you may complete the Screener on Monday and return to the household the following day to complete the Relationship Questionnaire and the appropriate extended questionnaires (SP and Family). However, the Relationship Questionnaire must be finalized (completed, refused, etc.) **before any extended questionnaires are administered** in the household.

No SP or Dust Collection Questionnaire will be created in CAPI until the Relationship Questionnaire is accessed and either completed or otherwise finalized. This means the SP and Dust Collection Questionnaires will not appear on your case list until you finalize the Relationship Questionnaire. If you do not finish the Relationship Questionnaire, CAPI will display the screen below.

BYPASS AND FINALIZE THE RELATIONSHIP QUESTIONNAIRE IN ORDER TO COMPLETE THE SP QUESTIONNAIRE(S)? WARNING: IF YOU CHOOSE "YES", NO FAMILY QUESTIONNAIRES WILL BE CREATED FOR THIS CASE.			
<div style="text-align: center;"> <input type="radio"/> Yes <input type="radio"/> No </div>			
999-07-0015	SFQ v. 2.01	Finalize Module 2	FINMOD2
Remarks	Español	Turn On Pad	

If you choose to the YES option at this screen, you may continue with the SP Questionnaire(s), however, no Family Questionnaire will be created for the household.

4.2.2 Eligible Respondent for the Relationship Questionnaire

An eligible respondent for the Relationship Questionnaire must be a knowledgeable household member at least 18 years old or an emancipated minor (see Section 4.1.2). Since the Relationship Questionnaire should normally be administered directly after the Screening, an eligible respondent will most often be the same household member who answered the Screener interview.

4.2.3 Specifications for the Relationship Questionnaire

4.2.3.1 Relationship of All Household Members to the Reference Person

What is Paula Drake's relationship to Julian Drake ?

Relationship

600-01-0006 SFQ v. 1.6 Pick relationship to SFQ10.70

Turn On Pad DK RF

What is Paula Drake's relationship to Julian Drake ?

Relationship

SPOUSE (HUSBAND/WIFE)
UNMARRIED PARTNER
CHILD (BIOLOGICAL/ADOPTIVE/IN-LAW/STEP/F
CHILD OF PARTNER
GRANDCHILD
PARENT (BIOLOGICAL/ADOPTIVE/IN-LAW/STEP

600-01-00

What is Paula Drake's relationship to Julian Drake ?

Relationship

BROTHER/SISTER (BIOLOGICAL/ADOPTIVE/IN-LAW)
 GRANDMOTHER/GRANDFATHER
 AUNT/UNCLE
 NIECE/NEPHEW
 OTHER RELATIVE
 HOUSEMATE/ROOMMATE

600-01-00

Remainder

In this first series, you will record the relationship of all household members to the household reference person. The household reference person is the first household member, 18 years of age or older, listed on the Screener household member roster (the first person mentioned in the Screener who owns or rents the house).

Always read the question that appears on the screen exactly as it is written. "What is Jim's relationship to Alice?" (husband) is very different than "What is Alice's relationship to Jim?" (wife).

Relationships are generally reported based on self-identification. That is, the respondent selects the appropriate answer category from the options listed on the Hand Card.

There are 17 relationship categories. All categories are defined on the HELP screen in CAPI and in the Glossary (Chapter 15). When coding relationships, keep in mind the following points:

- All persons listed must be identified by their relationship to the reference person. If the respondent has already given you the relationship of the household members, you may record the relationship without asking. However, this information **must be verified**. Remember, we are interested in the relationship to the **reference person** and not necessarily to the respondent.
- For unmarried couples living together, ask about relationships and accept the response given, such as husband, wife, or partner. Keep in mind that this study expands the definition of related to accommodate partner relationships.

- The study is not interested in obtaining specific relationships other than the ones listed above. For example, if Johnny is the reference person's cousin, Johnny's relationship to the reference person should be coded as OTHER RELATIVE.
- The definition of "related" extends to everyone related to the reference person (blood, marriage, or adoption) either directly or through another relationship. Consider the example below.

David (reference person) and Karen are married. Johnny is Karen's brother and Mary is Karen's niece. Pete is Mary's cousin.

Karen's relationship to David = Spouse
 Johnny's relationship to David = Brother (in-law)
 Mary's relationship to David = Niece
 Pete's relationship to David = Other relative

Degree Questions

If you have entered a household member's relationship to the reference person as "Child", "Parent" or "Brother/Sister", you will ask the respondent to further specify the **degree** or the **kind** of relationship that exists between the Reference Person and the household member. For example:

Example: Jeremy Drake is Reference Person's (Julian Drake) son

Is Jeremy Drake, Julian Drake's biological (natural), adoptive, step, foster son or son-in-law?

☐ BIOLOGICAL (NATURAL) SON




☐ ADOPTIVE SON




☐ STEP SON



☐ FOSTER SON

☒ SON-IN-LAW

600-01-0006
SFQ v. 1.6
Type of kid relation-son
SFQ20, 80

Example: Lupita is Reference Person's (Tony Ramos) mother

Is Lupita Quintero, Tony Ramos's biological (natural), adoptive, step, or foster parent or mother-in-law?

☐ BIOLOGICAL (NATURAL) PARENT
☐ ADOPTIVE PARENT
☐ STEP PARENT
☐ FOSTER PARENT
☒ MOTHER-IN-LAW

600-01-0007 SFQ v. 1.6 *Type of relation-mother* SFQ30,90

→ Remarks HELP Turn On Pad DK RF ← →

Example: Nancy Ramos is Reference Person's (Tony Ramos) Sister

Is Nancy Ramos, Tony Ramos's full, half, adoptive, step, or foster sister or sister in-law?

☒ FULL SISTER
☐ HALF SISTER
☐ ADOPTED SISTER
☐ STEP SISTER
☐ FOSTER SISTER
☐ SISTER-IN-LAW

600-01-0007 SFQ v. 1.6 *Type of relation-sister* SFQ40,00

→ Remarks HELP Turn On Pad DK RF ← →

4.2.3.3 Questions for Individuals Who Are Not Related to the Reference Person

Persons living in the household who are **not** related to the reference person are interviewed as separate families. For example, the Jones family has a lodger and his wife who rent a room in their

home. If either the lodger or his wife is an SP, they will be treated as a separate family and administered a separate Family Questionnaire. CAPI will automatically divide people who are unrelated to the reference person into separate families using the responses to questions in the Relationship Questionnaire.

If there is more than one person in the household who is unrelated to the reference person, CAPI will present a series of questions to determine how these individuals should be grouped.

Consider the following example. Julian and Jeremy Drake and their daughter, Melanie, live at 54 Elm Street. Janet, Tamie and Allyson Marcus are sisters who rent rooms within the Drake household. Julian Drake is the reference person.

Now I would like to talk about those persons in the household who are not related to Julian Drake .
Is Allyson Marcus related to anyone in the household?









☒ Yes
☐ No

999-15-0008

SFQ v. 2.01

Talk to non-related-

SFQ050



Who is Allyson Marcus related to?	
Name	Rel.
Paula Drake	<input type="checkbox"/>
Jeremy Drake	<input type="checkbox"/>
Melanie Drake	<input type="checkbox"/>
Janet Marcus	<input checked="" type="checkbox"/>
Tamie Marcus	<input checked="" type="checkbox"/>

999-15-0008	SFQ v. 2.01		SFQ0060

The relationship categories that appear for these persons are defined exactly as in the initial relationship questions (see Section 4.2.3.1). In this example, Janet and Allyson would constitute a separate family because they are not related to Mr. and Mrs. Drake but they **are** related to each other.

4.2.3.4 Parent-Child Relationships

Next you will identify any parent-child relationships that may exist. Of course, some of these relationships may have already been identified. For example, if the Household Reference Person has any children, a parent-child relationship was identified when you entered the relationship of the child. Therefore, CAPI will not display any questions regarding that particular parent-child relationship. Other parent-child relationships can be inferred. For example, if the Reference Person has a spouse, it is reasonable to assume that there is some degree of parent-child relationship between the Reference Person's child and spouse.

The question shown on the next page is used when the Reference Person has both a spouse or partner and a child. The instrument will make the connection that there is some degree of parent-child relationship between the Reference Person's spouse and child.

I recorded that Paula Drake is the mother of Jeremy Drake.

Is Jeremy Drake her biological, adoptive, step, foster child, son-in-law or a non relative of Paula Drake?

☐ BIOLOGICAL CHILD
☐ ADOPTIVE CHILD
☐ STEP CHILD
☐ FOSTER CHILD
☐ SON-IN-LAW
☐ NON-RELATIVE

600-01-0006 SFQ v. 1.6 Type of child of SFQ110a

The screens shown below and on the next page are used to identify parent-child relationships that don't include the Reference Person or that cannot be inferred by CAPI based on answers to previous relationship questions.

Is Eduardo Aguila-Rodrigas's mother a household member?
[Include mother-in-law]. IF OBVIOUS, VERIFY ONLY. CHOOSE MOTHER OVER MOTHER-IN-LAW IF BOTH PRESENT.

☐ YES - MOTHER IN HOUSEHOLD
☐ NO - MOTHER NOT IN HOUSEHOLD
☐ LEGAL GUARDIAN IN HOUSEHOLD

601-01-0001 SFQ v. 1.7 Person mother a HH SFQ120

Who is that ? [SELECT PERSON FROM HOUSEHOLD MATRIX].

Name	
Linda Ledesma-Rayes	<input checked="" type="checkbox"/>
Blanca De La Puenta	<input type="checkbox"/>

601-01-0001 SFQ v. 1.7 *Who is mother* SFQ130

Is Eduardo Aguila-Rodrigas's father a household member? [Include father-in-law].
 IF OBVIOUS, VERIFY ONLY.
 CHOOSE FATHER OVER FATHER-IN-LAW IF BOTH PRESENT.







☐ YES - FATHER IN HOUSEHOLD
☐ NO - FATHER NOT IN HOUSEHOLD
☒ LEGAL GUARDIAN IN HOUSEHOLD

601-01-0001 SFQ v. 1.7 *Father a HH member* SFQ150

Who is that ? [SELECT PERSON FROM HOUSEHOLD MATRIX].

Name	
Raul Aguila-Rodrigas	<input checked="" type="checkbox"/>
Pedro Ledesma-Rayes	<input type="checkbox"/>
Alberto De La Puerta	<input type="checkbox"/>

601-01-0001 SFQ v. 1.7 Who ? SFQ160

The questions above will be asked only if a person's father or father-in-law has not already been identified, and there is at least one female in the family that is at least 12 years old or older. The roster will only contain the females in the household who are at least 12 years old. Enter code 3 (LEGAL GUARDIAN) if the person has no mother in the household, but does have a legal guardian.

The questions above will be asked only if a person's father or father-in-law has not been identified, and there is at least one male in the family that is at least 12 years old or older. The roster will only contain the males in the household that are at least 12 years old. Enter code 3 (LEGAL GUARDIAN) if the person has no parent in the household, but does have a legal guardian.

4.2.3.5 Marital Status

You will determine **current** marital status for each person in the household **14 years of age or older**. You will usually know this by the time you get to this item, so you can simply verify this information with the respondent in most cases. If there is any doubt, however, ask. If a family member is either married or living with a partner, you will ask if they live in the household and who they are, the spouse or partner, thus identifying marital relationships. Note: These questions will not be asked if marital relationship for all household members have been recorded or inferred from answers to previous questions.

Is Jesus Rodrigas now married, widowed, divorced, separated, never married or living with a partner?

☒ MARRIED
☐ WIDOWED
☐ DIVORCED
☐ SEPARATED
☐ NEVER MARRIED
☐ LIVING WITH PARTNER

601-01-0009 SFQ v. 1.7 *Person married* SFQ180

Español **HELP** **DK** **RF**

4.2.3.6 Ending the Relationship Questionnaire—Entering Respondent Information

At the end of the Relationship Questionnaire, CAPI prompts you to select the name of the person who responded to the questions from the list of persons in the household and to enter information about an interpreter if one was used. These screens appear on the next page.

Note: These screens may appear twice; once for the Screener and once for the Relationship Questionnaire if they were administered on separate occasions.

SELECT RESPONDENT FOR THE SCREENER MODULE II
-- HOUSEHOLD RELATIONSHIPS

Respondent

- Julian Drake
- Paula Drake
- Jeremy Drake
- Melanie Drake
- Allyson Marcus
- Janet Marcus

999-15-0008 SFQ v. 2.01

Remarks Español On Pad

WAS INTERPRETER USED?

☐ Yes

☐ No





999-15-0008 SFQ v. 2.01 *interp. used* R1Q090





Remarks Español Turn On Pad

The options for "Interpreter Type" are "Living in Household," "Neighbor or Friend," or "Paid Interpreter."

Generally, we expect that you will be able to complete the Screener and Relationship Questionnaire with an English speaking household member 18+. If there is no one in the household who meets these qualifications, try to find someone in the neighborhood who could serve as an interpreter. If

no one is available, talk to your supervisor. S/he will find a professional/paid interpreter for you. If option "Neighbor or Friend" or "Paid Interpreter" is selected, you will be required to enter the person's name and phone number, in addition to the language in which the Screener and Relationship Questionnaires (see next pages for example of these screens) was conducted.

COMPLETE INTERPRETER ENTRIES BELOW	
CODE TYPE OF INTERPRETER	
<div><input type="radio"/> Living in Household</div> <div><input type="radio"/> Neighborhood or Friend</div> <div><input type="radio"/> Paid Interpreter</div>	
600-01-0006	SCQ v. 1.6
interp. type	
R1Q030	
	
HELP	
Turn On Pad	
	
	

COMPLETE INTERPRETER ENTRIES BELOW	
CODE TYPE OF INTERPRETER	
<div><input type="radio"/> Living in Household</div> <div><input type="radio"/> Neighborhood or Friend</div> <div><input checked="" type="radio"/> Paid Interpreter</div>	
600-01-0006	SCQ v. 1.6
interp. type	
R1Q030	
	
HELP	
Turn On Pad	
	
	

ENTER NAME OF INTERPRETER

First Name

Last Name

600-01-0006

SCQ v. 1.6

interp. name

R1Q050

ENTER PHONE NUMBER OF INTERPRETER

Phone # () -

600-01-0006

SCQ v. 1.6

interp. phone

R1Q060

Note: The respondent selection screens that appear for the Screener (when the Screener and Relationship Questions are administered on separate occasions) are slightly different.

4-62

4.3 Administering the Household Sample Person Questionnaires

The SP questionnaires will be administered to each eligible SP. The actual questionnaire sections administered will depend upon the SP's age. (See Chapter 14 for an overview of the sections in the SP questionnaire).

4.3.1 Eligible Respondent for SP Questionnaires

To be eligible for the household SP questionnaire, the person must have been selected through the sample person selection procedures applied by CAPI in the screening interview. **SPs who are 16 years of age and older must respond to the SP questionnaire for themselves, unless they are physically or mentally unable to do so.** In these rare situations, when there is a **serious** physical or mental condition, a proxy respondent may be used to conduct the interview (e.g., SP has hearing problem, is senile, or mentally retarded, etc.). If you have any doubt about whether to use a proxy, call your supervisor prior to administering the interview.

On the other hand, **interviews for SPs birth to 15 years old should always be conducted with a proxy respondent.** In the unusual situation where the "youth" lives alone, only with persons who are under 16 years old, or is married, interview the youth and document the situation before starting the interview on the Respondent Information Screens (see Section 4.3.4).

A **proxy respondent** must be a family member 18 years old or older. For children (birth to 15 years old), the preferred proxy respondent is the most knowledgeable about the child (usually the mother or father). Generally, the proxy respondent for the child is a household member. In rare situations, this type of proxy may be a family member who does not live in the household (e.g., parents divorced, mother lives elsewhere). For adults with a serious physical or mental condition, a spouse would be preferred. It is best that the proxy live in the same household as the SP, but if no such proxy is available, residence elsewhere is acceptable.

4.3.2 Sample Person Language Problems

NHANES will have an English and Spanish version of the CAPI questionnaire. In addition, the NHANES interviewing team includes bilingual (English/Spanish) interviewers. If you encounter a

situation where a Spanish language interview is needed for an SP, return the case to your supervisor. If you start an interview with an SP, who you believed to be bilingual, and find they have difficulty with the questions or concepts, stop the interview. Explain to the SP that we have Spanish speaking interviewers and set an appointment to have the interview completed in Spanish, and return the case to your supervisor. If you encounter a situation where the SP only speaks another language (i.e., Chinese, French, Japanese, etc.), or does not speak enough English to conduct the interview, present the respondent with a Language Identification Card so they may identify the spoken household language. Also, try to find a household translator or a friend or neighbor to assist in the conduct of the interview. This translator should be age 18 or older. If you cannot find an appropriate translator, discuss the case with your supervisor.

4.3.3 Obtaining Consent for the SP Interview

Each respondent for the Household questionnaires (SP and Family Questionnaires) must read and sign a Household Interview Consent Form (Exhibit 4-1) prior to the start of the interview. In addition, respondents who are 16 and 17 must also have a parent read and sign the Consent Form. **A respondent is only required to sign the form once regardless of the number of interviews s/he completes.** For example, a mother who responds for herself in one SP interview and for her child in another SP interview is **only required to sign one form.**

This consent form addresses several key survey issues. It:

- Explains the general structure and goals of the survey;
- Informs the respondent about the length of the household interview and provides an overview of the interview topics;
- Discusses data uses and confidentiality; and
- Explains the voluntary nature of participation and the rights of survey participants.

On the bottom of this consent form is an area for signatures. Use the following guidelines to complete the signature process.

- Enter the Household ID number on the appropriate lines – the Household ID consists of the Stand, Segment, Serial Number, and Family Number of the case. This number appears on the label on the front cover of your Household Folder.

Exhibit 4-1. Household Interview Consent Form

#1

FORM APPROVED: OMB # 0920-0237

NATIONAL HEALTH AND NUTRITION EXAMINATION SURVEY HOUSEHOLD INTERVIEW CONSENT

Print name of respondent _____
First Middle Last

You have been chosen to take part in the National Health and Nutrition Examination Survey (NHANES) conducted by the National Center for Health Statistics (NCHS). This survey tells us about the health and nutrition of people in the United States. It combines an interview with a health exam. Our interviewer will ask questions about you and your family. Some questions are about your work and leisure and your health care. Others are about illnesses and health conditions and other health topics. Also, we will ask for your Social Security and Medicare numbers for linkage to other data sources to do research on health and health care. The interview will take about one hour. We may contact you again for further studies.

We use data collected in this survey to study many health issues. We use information only for research and statistical reports. All data collected will be kept strictly private. We gather and protect all information in keeping with the requirements of Federal Laws: the Public Health Service Act (42 USC 242k) authorizes collection and Section 308(d) of that law (42 USC 242m) and the Privacy Act of 1974 (5 USC 552A) prohibit us from giving out information that identifies you or your family without your consent.

You may take part in the survey interview or not. That is your choice. No penalties or loss of benefits will come from refusing. If you choose to take part, you may choose not to answer any question.

Do you have more questions about the survey? You can make a toll-free call to Dr. Kathryn Porter of the U.S. Public Health Service at 1-800-452-6115, Monday-Friday, 9 AM-6 PM EST. If you have questions about your rights as a survey participant, call the Institutional Review Board Chairperson at 1-800-223-8118.

I have read the information above. I freely choose to participate in the NHANES household interview.

Signature of person answering household questionnaire(s) _____ Date _____

IF PERSON ABOVE IS 16 OR 17, PARENT/GUARDIAN MUST ALSO SIGN BELOW:
(Unless participant is an emancipated minor. ☐)

Signature of parent/guardian _____ Date _____

Signature of staff member _____ Date _____ Witness (if required) _____ Date _____

HOUSEHOLD ID _____ FAMILY # _____

Which questionnaire(s) did person respond to?

FAMILY ☐ SP ☐ (IF CHECKED, PRINT BELOW)

SP NAME

SP ID

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

☐ I agree to have my interview audiotaped.

Public reporting burden of this collection of information is estimated to average 6.6 hours per response for total participation, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to CDC/ATSDR Reports Clearance Officer, 1600 Clifton Road, MS D-24, Atlanta, GA 30333, ATTN: PRA (0920-0237).

02-0574 (10/02)

☆ U.S. GOVERNMENT PRINTING OFFICE: 2002/721-938

- Enter the Family Number on the appropriate line. This number will usually be "1". However, if there is more than one family in the household, this number will appear on your CAPI case list.
- Have the respondent sign and date the form. Ask the respondent to sign his/her full name.
- If the respondent is 16 or 17, one of the respondent's parents or guardians must sign and date the form on the line provided. Note: A parent or guardian must sign on the appropriate signature line unless the SP is an emancipated minor (a person who is under 18 who lives alone or only with persons who are under 18 or who is or has been married). If the SP is an emancipated minor, the "emancipated minor" box **must** be checked. This box appears under the general heading "IF PERSON ABOVE IS 16 OR 17, PARENT/GUARDIAN MUST ALSO SIGN BELOW:".
 - Sign your name on the line entitled "Signature of staff member."
- "Witness (if required)" refers to any witness used during the consent process. For example, if a respondent cannot read, read the entire form to him/her in the presence of a witness. If the respondent cannot read or write, have a witness testify that the respondent has been read the form information and consents to participate in the interview. In both cases, print the full name of the witness on the appropriate line.
- Check the boxes and list the SP names that correspond to **all** questionnaires the person will respond to.
- Enter each SP six digit SP ID. (You will obtain this number from the field office when you call to make an appointment. Thus, this may need to be entered during your field edit).

For example, if the respondent (Jane Smith) completes her SP Questionnaire, her son Robert's and her daughter Lucy's SP Questionnaire and also completes the Family Questionnaire, her completed Household Interview Consent Form should look like the one displayed as Exhibit 4-2.

This form is printed on 3-part paper. Keep the top two copies and give the respondent the last page for his/her records.

4.3.4 Beginning the SP Questionnaire —The Respondent Information Questions

After selecting the appropriate SP interview and before administering the first set of questions, you will be asked to enter information about the respondent, the Household Consent Form, and Interpreter Information before CAPI will allow you to continue.

Exhibit 4-2. Completed Household Interview Consent Form

#1

FORM APPROVED: OMB # 0920-0237

NATIONAL HEALTH AND NUTRITION EXAMINATION SURVEY HOUSEHOLD INTERVIEW CONSENT

Print name of respondent Jane Ann Smith
First Middle Last

You have been chosen to take part in the National Health and Nutrition Examination Survey (NHANES) conducted by the National Center for Health Statistics (NCHS). This survey tells us about the health and nutrition of people in the United States. It combines an interview with a health exam. Our interviewer will ask questions about you and your family. Some questions are about your work and leisure and your health care. Others are about illnesses and health conditions and other health topics. Also, we will ask for your Social Security and Medicare numbers for linkage to other data sources to do research on health and health care. The interview will take about one hour. We may contact you again for further studies.

We use data collected in this survey to study many health issues. We use information only for research and statistical reports. All data collected will be kept strictly private. We gather and protect all information in keeping with the requirements of Federal Laws: the Public Health Service Act (42 USC 242k) authorizes collection and Section 308(d) of that law (42 USC 242m) and the Privacy Act of 1974 (5 USC 552A) prohibit us from giving out information that identifies you or your family without your consent.

You may take part in the survey interview or not. That is your choice. No penalties or loss of benefits will come from refusing. If you choose to take part, you may choose not to answer any question.

Do you have more questions about the survey? You can make a toll-free call to Dr. Kathryn Porter of the U.S. Public Health Service at 1-800-452-6115, Monday-Friday, 9 AM-6 PM EST. If you have questions about your rights as a survey participant, call the Institutional Review Board Chairperson at 1-800-223-8118.

I have read the information above. I freely choose to participate in the NHANES household interview.

Jane Smith 12-30-02
Signature of person answering household questionnaire(s) Date

IF PERSON ABOVE IS 16 OR 17, PARENT/GUARDIAN MUST ALSO SIGN BELOW:
(Unless participant is an emancipated minor. ☐)

Signature of parent/guardian Date

Staff Member 12-30-02
Signature of staff member Date Witness (if required) Date

HOUSEHOLD ID 555 02 1 2 3 4 FAMILY # 01

Which questionnaire(s) did person respond to?

FAMILY ☒ SP ☒ (IF CHECKED, PRINT BELOW)

SP NAME	SP ID
<u>Jane Ann Smith</u>	<u>1 2 3 4 5 6</u>
<u>Robert Michael Smith</u>	<u>2 3 4 5 6 7</u>
<u>Lucy Michelle Smith</u>	<u>3 4 5 6 7 8</u>
_____	_____
_____	_____
_____	_____

☐ I agree to have my interview audiotaped.

Public reporting burden of this collection of information is estimated to average 6.6 hours per response for total participation, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to CDC/ATSDR Reports Clearance Officer, 1600 Clifton Road, MS D-24, Atlanta, GA 30333, ATTN: PRA (0920-0237).

02-0574 (10/02)

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Respondent for the Interview

First you must select the respondent for the interview from a list of household members.

The screenshot shows a software window titled "SELECT RESPONDENT FOR THE SP QUESTIONNAIRE". Inside the window, there is a list box labeled "Respondent" which is currently open, displaying a list of names: Michelle Spencer, Tad Spencer, Laurie Spencer, Gregg Spencer, and Julia Lyle. Below the list, there is an option labeled "NOT IN HOUSEHOLD". The window has a standard Windows-style interface with a title bar, a menu bar (File, Edit, View, Help), and a toolbar with buttons for "Back", "Forward", "Home", "End", "Print", and "Exit". The status bar at the bottom shows the date "600-01-0017-01-03" and the time "10:01:00".

SELECT RESPONDENT FOR THE SP QUESTIONNAIRE

Respondent

- Michelle Spencer
- Tad Spencer
- Laurie Spencer
- Gregg Spencer
- Julia Lyle
- NOT IN HOUSEHOLD

600-01-0017-01-03 10:01:00

File Edit View Help

Back Forward Home End Print Exit

You may select a household member or "someone not in the household."

Following General Eligibility Rules – Selecting a Proxy for an SP Who is Age 16+

If you select a proxy for a person who should be the respondent, CAPI will display the following screen.

WHY IS INTERVIEW BEING CONDUCTED WITH A PROXY?

☐ SP has Cognitive Problems

☐ SP has Physical Problems (Specify)

☐ Other (Specify)

600-01-0017-01-03 HPQ v. 1.6 proxy reason coded RIQ030

Navigation icons: Home, Remarks, HELP, Turn On Pad, Previous, Next

CAPI will require you to enter the reason for your selection in order to continue.

Following General Eligibility Rules – Selecting a Child Under Age 16 as the Respondent

If you select a child under 16 years old as a respondent for the SP interview, CAPI will display the screen below.

INTERVIEW SHOULD BE CONDUCTED WITH A PROXY
BECAUSE SP IS UNDER 16 YEARS OLD
ENTER ONE OPTION

☐ SP is an Independent Minor

☐ Person Selected as Respondent in Error


☐ SP Age Entered in Error -- SP is AGE 16+


999-15-0008-01-04


HPQ v. 2.01


proxy reason coded


PIQ020














CAPI will require you to enter the reason for your selection in order to continue.

Household Consent Form Information

You must acknowledge that the respondent has signed the consent form before CAPI will allow you to continue.

HAS RESPONDENT SIGNED A HOUSEHOLD INTERVIEW
CONSENT FORM?

☐ Yes

☐ No

600-01-0017-01-03 HPQ v. 1.6 consent form RIQ036

Remarks HELP Turn On Pad

Navigation buttons: Previous, Next

The screen below is an example of the message that will appear when the Interview Consent Form has not been signed.







EACH RESPONDENT FOR HOUSEHOLD
QUESTIONNAIRE MUST SIGN A HOUSEHOLD
INTERVIEW CONSENT FORM BEFORE THE INTERVIEW
CAN BE ADMINISTERED.

600-01-0017-01-03 HPQ v. 1.6 no consent notice RIQ037







Remarks HELP Turn On Pad

Navigation buttons: Previous, Next

Interpreter Information

INTERPRETER USED FOR THIS INTERVIEW?					
<div><input type="radio"/> Yes <input type="radio"/> No</div>					
999-15-0008-01-04	HPQ v. 2.01	interp. used?	R1Q040		
	 Remarks	 Español	 Turn On Pad		

You must record whether an interpreter will be used for the interview, and if so, the type of interpreter (household member, paid, or neighbor/friend). If the interpreter is a household member, you will select his/her name from a household roster list. If the interpreter type selected is "paid" or "neighbor/friend," you will be required to enter his/her name and phone number.

CODE TYPE OF INTERPRETER					
<div><input type="radio"/> Living in Household <input type="radio"/> Neighborhood or Friend <input type="radio"/> Paid Interpreter</div>					
600-01-0017-01-03	HPQ v. 1.6	interp. type	R1Q050		
	 Remarks	 HELP	 Turn On Pad		

ENTER NAME OF INTERPRETER					
<div>First Name</div> <div>Last Name</div>					
<div>600-01-0017-01-03</div> <div>HPQ v. 1.6</div> <div><i>interp. name, text</i></div> <div><i>RIQ070</i></div>					
		<div>HELP</div>	<div>Turn On Pad</div>		

ENTER PHONE NUMBER OF INTERPRETER

() -

600-01-0017-01-03
HPQ v. 1.6
interp. phone
R1Q080

Remarks
HELP
Turn On Pad
DK
RF

Interview Language

Lastly, you are required to enter the language in which the interview was conducted.

LANGUAGE OF INTERVIEW

English
Spanish
French
German
Italian
Japanese

600-01-0017-0
language
R1Q080

Remarks
HELP
On Pad

4.3.5 Completion Order for the Household SP Interview

The household SP questionnaires are administered following the completion of the Screener interview and Relationship interviews with SPs who are available during that visit. The Family Questionnaire may also be completed during the same visit, although generally it is best to administer it after all SP questionnaires have been completed.

4.4 Administering the Family Questionnaire

A separate Family Questionnaire will be completed for each family that has at least one SP (i.e., one Family Questionnaire per family with eligible SPs). Therefore, if a household has two families and both families have an SP, two Family Questionnaires are completed. If a household has two families, but only one family has an SP, then only one Family Questionnaire is completed.

The Family Questionnaire is organized to ask questions about the non-SP head of the family, each SP in the family, and the household in general. (See Chapter 14 for a list of the sections in the Family questionnaire).

4.4.1 Eligible Respondent for the Family Questionnaire

An eligible respondent for the Family Questionnaire must be a family member (i.e., household member related by blood, marriage, or adoption to the head of the family) who is at least 18 years old. In families where there is no one 18 years or older, you should choose as a respondent the head of the family or any person in the family who has ever been married.

In households that have more than one family with an SP, the interviewer will need to use a respondent from each family to complete the appropriate Family Questionnaires. It is not permissible to have a nonfamily member respond to the Family Questionnaire.

Since the Family Questionnaire asks very specific questions about such subjects as occupation and income, it is important that the respondent be very knowledgeable about family matters.

For this reason, it is preferred that the head of the family or spouse of the head be the respondent for the Family Questionnaire.

4.4.2 Obtaining Consent for the Family Interview

As mentioned previously, each respondent for the household questionnaires must sign a Household Interview Consent (Exhibit 4-1 and 4-2). If the respondent for the Family Questionnaire has not previously signed a form (for example, s/he may be the head of the family but not an SP and be only responding for the Family Questionnaire), s/he must do so before the Family Questionnaire can be administered.

Use the basic instructions described in Section 4.3.3 for completing this form.

4.4.3 Beginning the Family Interview—The Respondent Information Questions







After selecting the appropriate family interview and before administering the first set of questions, you will be asked to enter information about the respondent, the Household Consent Form, and the use of an interpreter before CAPI will allow you to continue.

Respondent for the Interview







The screenshot shows a software window titled "SELECT RESPONDENT FOR THE FAMILY QUESTIONNAIRE". Inside the window, a list of names is displayed: Tony Ramos, Nancy Ramos, Lupita Quintero, Olivia Quintero, and Rodolfo Quintero. The list is presented in a scrollable format with a black header bar. Below the list, there is a status bar containing several icons and labels: a telephone icon, a "Remarks" icon, a "HELP" icon, an "On Pad" icon, and two large navigation arrows (left and right).

CAPI will present a list of family members from which to select the respondent. CAPI will not allow you to select anyone outside the family as a respondent for this interview.

Household Consent Form Information







HAS RESPONDENT SIGNED A HOUSEHOLD INTERVIEW CONSENT FORM?					
<div><input type="radio"/> Yes</div> <div><input type="radio"/> No</div>					
600-01-0007-01	HFQ v. 1.6	consent form	RIQ020		
					

You must acknowledge the respondent has signed the Household Consent Form before continuing. If he or she has not signed, a warning message will appear.

THE RESPONDENT MUST SIGN A HOUSEHOLD CONSENT FORM BEFORE THE INTERVIEW IS ADMINISTERED.					
600-01-0007-01	HFQ v. 1.6	Consent Warning	RIQWarn		
					

Interpreter Information

You must record whether an interpreter will be used for the interview, and if so, the type of interpreter (household member, paid, or neighbor/friend). If the interpreter is a household member, you will select his/her name from a household roster list. If the interpreter type selected is "paid" or "neighbor/friend," you will be required to enter his/her name and phone number. Lastly, you are required to enter the language in which the interview will be conducted.

INTERPRETER USED FOR THIS INTERVIEW?					
<div><input type="radio"/> Yes <input type="radio"/> No</div>					
999-15-0008-01-04	HPQ v. 2.01	interp. used?	RIQ0040		
					

CODE TYPE OF INTERPRETER

- ☐ Living in Household
- ☐ Neighborhood or Friend
- ☐ Paid Interpreter

600-01-0007-01

HFQ v. 1.6

interp. type

RIQ040



ENTER NAME OF INTERPRETER

First Name

Last Name

600-01-0007-01

HFQ v. 1.6

interp. name, text

RIQ060



ENTER PHONE NUMBER OF INTERPRETER	
<div style="border: 1px solid black; width: 150px; height: 20px; margin: 0 auto; display: flex; align-items: center; justify-content: center;"> () - </div>	
<div style="display: flex; justify-content: space-between; font-size: small;"> 999-15-0008-01-04 HPQ v. 2.01 interp. phone RIQ080 </div> <div style="display: flex; justify-content: space-between; align-items: center;"> <div style="display: flex; gap: 5px;"> <div style="border: 1px solid gray; padding: 2px; font-size: x-small;">Remarks</div> <div style="border: 1px solid gray; padding: 2px; font-weight: bold;">Español</div> </div> <div style="display: flex; gap: 5px;"> <div style="border: 1px solid gray; padding: 2px; font-size: x-small;">Turn On Pad</div> <div style="border: 1px solid gray; padding: 2px; font-weight: bold;">DK</div> <div style="border: 1px solid gray; padding: 2px; font-weight: bold;">RF</div> </div> <div style="display: flex; gap: 10px;"> <div style="border: 1px solid gray; width: 30px; height: 30px; display: flex; align-items: center; justify-content: center;">◀</div> <div style="border: 1px solid gray; width: 30px; height: 30px; display: flex; align-items: center; justify-content: center;">▶</div> </div> </div>	

LANGUAGE OF INTERVIEW	
<div style="border: 1px solid black; width: 150px; height: 100px; margin: 0 auto; position: relative;"> <div style="position: absolute; top: 0; left: 0; right: 0; background-color: black; height: 20px;"></div> <div style="position: absolute; top: 20px; left: 0; right: 0; padding: 5px;"> English Spanish French German Italian Japanese </div> </div>	
<div style="display: flex; justify-content: space-between; font-size: small;"> 600-01-0007 HPQ v. 2.01 language RIQ080 </div> <div style="display: flex; justify-content: space-between; align-items: center;"> <div style="display: flex; gap: 5px;"> <div style="border: 1px solid gray; padding: 2px; font-size: x-small;">Remarks</div> <div style="border: 1px solid gray; padding: 2px; font-weight: bold;">HELP</div> </div> <div style="display: flex; gap: 5px;"> <div style="border: 1px solid gray; padding: 2px; font-size: x-small;">On Pad</div> </div> <div style="display: flex; gap: 10px;"> <div style="border: 1px solid gray; width: 30px; height: 30px; display: flex; align-items: center; justify-content: center;">◀</div> <div style="border: 1px solid gray; width: 30px; height: 30px; display: flex; align-items: center; justify-content: center;">▶</div> </div> </div>	

4.4.4 Completion Order for the Family Questionnaire

The Family Questionnaire is completed for every family in the household with at least one SP. The Family Questionnaire may be completed on the same visit as the Screener and Relationship interview but ideally should be completed after all of the SPs have been interviewed.

Note: As discussed earlier in this chapter (Section 4.2.1), the Relationship Questionnaire must be completed in order for CAPI to identify families within the household and create Family Questionnaires for each eligible family. You must administer the Relationship Questionnaire or CAPI will not create Family Questionnaires.

5. THE HOUSEHOLD FOLDER

For each dwelling unit (DU) you are assigned you will receive a Household Folder. The folder itself is used to store documents associated with the case. The Household Folder consists of the following sections:

Page 1

- Assignment Label;
- Directions to the Dwelling Unit;
- Address Changes;
- Screener Disposition Code;
- Household or Other (specify) Phone #;
- MEC Exam Appointment Summary;
- VOC Kit Results;

Page 2

- A Summary of Forms Used to Complete the Consent Form Process;

Page 3

- Missed DU Procedure and Missed DU Form;
- Translator Information;

Page 4

- The Household Call Record – Result of Contact;
- Primary Exam and Sub-study Exam Incentive Information;

Page 5

- Call Record Result Codes;

Page 6

- Household Language Use; and
- Household Call Record.

This chapter discusses the purpose of each of these sections. It also provides a description of the procedures and specifications you should follow while completing each section.

5.1 Assignment Label

Each Household Folder you receive will have a large Assignment Label on the front page. This label contains the Household ID (Stand/Segment/Serial) number, address, any special message for the case and respondent incentive information. Section 3.2.2 contains a detailed discussion of the label and the information that can be found on it.

5.2 Directions

This area should be used when the dwelling unit is unusually difficult to locate. Record as much information as you think is appropriate. Information you record in this space will help you and any other interviewer who is assigned the case to locate the dwelling unit.

Address Changes

This area is to be used by Field Office staff to indicate that address modifications made by the interviewer on the HH label have been documented in CAPI and ISIS appropriately.

5.3 Appointment Summary

The lower half of the front cover of the Household Folder is the MEC Exam Appointment Summary (Exhibit 5-1). Entries in this section should be made as the current interviewer appoints each SP. Note that this section can accommodate appointments for up to six SPs and report up to four appointments for **each** SP (in cases of "cancelled" or "no show" appointments).

The summary should be completed according to the following specifications:

- **Screeners Disposition:** Enter final disposition code for completed screeners.
- **Household Telephone #:** Enter telephone number or contact telephone number. You will find this telephone number on the SP list on your pentop.

Exhibit 5-1. Appointment Summary

NATIONAL HEALTH AND NUTRITION EXAMINATION SURVEY HOUSEHOLD FOLDER

Stand: 998 Seg: 16 Serial: 67

1450 Glenarm Place
Denver, Colorado 80205

DIRECTIONS/OTHER INFO

Screener Disposition Code: _____

FO USE ONLY: Address Changed: _____

Household Phone #: _____

HH Address _____ Mailing Address _____

Specify Other Phone Type: _____

Address Updated in CAPI _____ ISIS _____

MEC EXAM APPOINTMENT SUMMARY							VOC KIT GIVEN	
FAM #	PER #	INTER INITIALS	SP ID#	APPT DISP	MEC EXAM APPOINTMENT INFORMATION			Y N* NA
					DATE	TIME	TRANSPORT	SPECIAL CONSID
	1	NAME: _____			GENDER: _____ AGE: _____			
		NAME: _____			GENDER: _____ AGE: _____			
		NAME: _____			GENDER: _____ AGE: _____			
		NAME: _____			GENDER: _____ AGE: _____			
		NAME: _____			GENDER: _____ AGE: _____			

*FOR ALL VOC NONRESPONSE (EXPLAIN) _____

- **Other Phone Type:** Enter the best phone number available to reach the SP and specify the location of phone (i.e., work number, mother's phone, cell phone, etc.)
- **Family #:** Enter the Family # generated by the Relationship Questionnaire. You will find this on your Case Assignment List on your pentop.
- **Person #:** Enter the SP's Person # generated by the Relationship module. Note: You **must** obtain this information from your Case Assignment List of SPs on your pentop. Never arbitrarily assign Person #s to SPs.
- **Inter Initials:** Enter your three letter interviewer initials for each SP in the household that you are working. Note that space is provided to allow the recording of information for up to four interviewers per SP.
- **SP ID:** Enter this six-digit number as soon as it is assigned by the field office staff.
- **APPT. DISP:** Enter the numeric code (MEC APPOINTMENT SCHEDULING CODE or REFUSAL/BREAK OFF CODE) from the Household Call Record Result Codes.
- **MEC Exam Appt. Information:** If an appointment has been scheduled (code 11), enter the date, time, mode of transportation for the SP's appointment (i.e., taxi, self-transport, or field staff transport), and any special consideration codes that should be noted. Special consideration codes are discussed in Section 8.3, Step 6 of this manual.
- **VOC Kit Given:** Enter "N/A" for all SPs who have not been selected for VOC participation. Enter "Y" for the successful delivery of the VOC kit. Enter "N" when the kit was not delivered and/or the SP refused participation. Record non-response details in space provided at the bottom of page 1.

5.4 Summary of Forms Used to Complete the Consent Process

This summary (Exhibit 5-2) was designed to guide you through the process of obtaining all the correct hard copy forms for each SP. The space below the summary will be used by the Field Office Staff to check that all necessary forms have been obtained and are properly signed.

5.5 Missed DU Procedure and Missed DU Form

Located inside of each Household Folder on page 3 is the Missed DU Form (see Exhibit 5-3). The specifications for completing this form and a detailed discussion of the Missed DU Procedures can be found in Chapter 12.

Exhibit 5-2. Summary of Forms Used to Complete the Consent Form Process

SUMMARY OF FORMS USED TO COMPLETE THE CONSENT PROCESS

	Household Interview Consent	Dust Sample Consent	Transport	MEC Consent/ Assent	MEC Child Assent	Future Research Consent/Assent	VOC Materials
SP 0-11 Months	Signed by Parent	N/A	Signed by Parent	Signed by Parent	N/A	N/A	N/A
SP 1-6 Years	Signed by Parent	Signed by Parent (1-5)	Signed by Parent	Signed by Parent	N/A	Signed by Parent	N/A
SP 7-11 Years	Signed by Parent	N/A	Signed by Parent	Signed by Parent	Signed by Child	Signed by Parent & Child	N/A
SP 12-17 Years	Signed by Parent & Child (16-17)	N/A	Signed by Parent (12-15)	Signed by Parent & Child	N/A	Signed by Parent & Child	N/A
SP 18+ Years	YES	N/A	N/A	YES	N/A	YES	YES (20-59 IF SELECTED)

Place 1 consent/age group label for each SP below:

Exhibit 5-3. Missed DU Procedure

MISSED DWELLING UNIT PROCEDURE

1. BEFORE LEAVING HOUSEHOLD, SAY: We want to be sure that every household in this area has been given a chance to participate in this important survey. At this address we have listed ____ households in your structure. Are there any other living quarters in here that we may have missed?

Queremos estar seguros de que cada hogar en esta area ha tenido la oportunidad de participar en esta importante encuesta. En esta dirección tenemos anotados ____ hogares en su estructura. ¿Hay algunas otras unidades de vivienda aquí que pudiésemos haber pasado por alto?

2. ALSO, CHECK IN THE LOBBY AND AROUND THE OUTSIDE OF THIS (HOUSE/BUILDING) FOR ADDITIONAL UNITS OR ENTRANCES IN THIS STRUCTURE.
3. RECORD ALL DISCOVERED DU ADDRESSES. NUMBER CONSECUTIVELY (I.E., 1, 2, 3) ON FORM BELOW. IF NO ADDITIONAL DU'S, PLACE A CHECK IN THE BOX BELOW.
4. IF 1 TO 4 MISSED DU'S ARE DISCOVERED, CREATE A NEW MISSED DU CASE ON YOUR LAPTOP AND FILL OUT A CASE ASSIGNMENT BOX ON A BLANK HOUSEHOLD FOLDER FOR EACH (INSTRUCTIONS FOR HOW TO DO THIS ARE IN THE INTERVIEWER MANUAL). CONDUCT SCREENER INTERVIEW. ADD THE DISCOVERED DU'S TO THE LISTING SHEET.
5. IF 5 OR MORE MISSED DU'S ARE DISCOVERED, CALL SUPERVISOR FOR INSTRUCTIONS BEFORE YOU DO ANY ADDITIONAL SCREENER INTERVIEWS. ADD ALL OF THE DISCOVERED DU'S TO THE LISTING SHEET. CREATE A NEW MISSED DU CASE FOR THE SELECTED CASES ON YOUR LAPTOP AND THEN FILL OUT A CASE ASSIGNMENT BOX ON A BLANK HOUSEHOLD FOLDER FOR EACH SELECTED SAMPLE DU AND CONDUCT SCREENER INTERVIEW.

CHECK HERE WHEN MISSED DU
PROCEDURE IS COMPLETED

☐

MISSED DU FORM

NUMBER CONSECUTIVELY (1, 2, 3)	ADDRESS OF DISCOVERED D.U.

TOTAL ADDITIONAL D.U.'S:

TRANSLATOR INFORMATION

TRANSLATOR'S NAME _____

ADDRESS _____

RELATIONSHIP TO HOUSEHOLD/SP _____
(I.e., family member, neighbor, friend, professional)

PHONE NO. | | | | | - | | | | | - | | | | |

TRANSPORTATION _____

☐
Recorded
in EVM?

5.6 **Translator Information**

If you have arranged for a translator for the SP questionnaire, enter as much detail as possible about the translator on the appropriate lines under the heading "TRANSLATOR INFORMATION" (Exhibit 5-4). The check box is for field office use and should be marked when the translator is entered into the Employee and Visitor Management application. The field office staff may also enter information in this space if they are responsible for arranging a translator for the SP.

Relationship to HH/SP. Indicate whether the translator is a family member, a friend, or neighbor who lives outside the household, or a professional translator.

Phone Number and Transportation. If the translator is someone who lives outside the household (neighbor, friend, or professional), enter the translator's phone number and the mode of transportation s/he will be using to travel to the household for the interview.

5.7 **Incentive Information**

The Incentive Information Space (Exhibit 5-5) is printed below the Record of Calls on page 4 of the HH Folder. SPs who agree to the exam may qualify for several monetary incentives. The number of incentives that apply to each SP is determined by when he/she is scheduled for an exam, where he/she lives, if he/she has special transportation needs, and the number of special study modules for which he/she qualifies. A discussion of monetary incentives associated with exams is contained in Section 8.3 of this manual.

The chart is divided into two sections, the primary exam incentives and the sub-study exam incentives. You are required to fill out the primary incentive chart as a means of documenting the incentives communicated to the SP. The sub-study incentive chart is available for your use but its completion is not required.

This space is designed to help you and the field office staff keep track of the type and amount of incentive offered to each appointed SP. Record the SP's name and enter an amount in each appropriate area. Enter total amount for each SP in the right hand column of the form and a total for the family in the space provided in the lower left hand corner of the page.

Exhibit 5-4. Household Language Use and Translator Information

MISSED DWELLING UNIT PROCEDURE

- BEFORE LEAVING HOUSEHOLD, SAY:** We want to be sure that every household in this area has been given a chance to participate in this important survey. At this address we have listed ____ households in your structure. Are there any other living quarters in here that we may have missed?

Queremos estar seguros de que cada hogar en esta area ha tenido la oportunidad de participar en esta importante encuesta. En esta dirección tenemos anotados ____ hogares en su estructura. ¿Hay algunas otras unidades de vivienda aquí que pudiésemos haber pasado por alto?
- ALSO, CHECK IN THE LOBBY AND AROUND THE OUTSIDE OF THIS (HOUSE/BUILDING) FOR ADDITIONAL UNITS OR ENTRANCES IN THIS STRUCTURE.**
- RECORD ALL DISCOVERED DU ADDRESSES. NUMBER CONSECUTIVELY (I.E., 1, 2, 3) ON FORM BELOW. IF NO ADDITIONAL DU'S, PLACE A CHECK IN THE BOX BELOW.**
- IF 1 TO 4 MISSED DU'S ARE DISCOVERED, CREATE A NEW MISSED DU CASE ON YOUR LAPTOP AND FILL OUT A CASE ASSIGNMENT BOX ON A BLANK HOUSEHOLD FOLDER FOR EACH (INSTRUCTIONS FOR HOW TO DO THIS ARE IN THE INTERVIEWER MANUAL). CONDUCT SCREENER INTERVIEW. ADD THE DISCOVERED DU'S TO THE LISTING SHEET.**
- IF 5 OR MORE MISSED DU'S ARE DISCOVERED, CALL SUPERVISOR FOR INSTRUCTIONS BEFORE YOU DO ANY ADDITIONAL SCREENER INTERVIEWS. ADD ALL OF THE DISCOVERED DU'S TO THE LISTING SHEET. CREATE A NEW MISSED DU CASE FOR THE SELECTED CASES ON YOUR LAPTOP AND THEN FILL OUT A CASE ASSIGNMENT BOX ON A BLANK HOUSEHOLD FOLDER FOR EACH SELECTED SAMPLE DU AND CONDUCT SCREENER INTERVIEW.**

CHECK HERE WHEN MISSED DU
PROCEDURE IS COMPLETED

☐

MISSED DU FORM

NUMBER CONSECUTIVELY (1, 2, 3)	ADDRESS OF DISCOVERED D.U.

TOTAL ADDITIONAL D.U.'S:

TRANSLATOR INFORMATION

TRANSLATOR'S NAME _____
ADDRESS _____
RELATIONSHIP TO HOUSEHOLD/SP _____
(i.e., family member, neighbor, friend, professional)
PHONE NO. | | | | | - | | | | | - | | | | |
TRANSPORTATION _____

☐
Recorded
in EVM?

Exhibit 5-5. Incentive Information

RESULT OF CONTACT																					
ATTEMPT #	INTER INITIALS	DAY OF WEEK	DATE	TIME (SPECIFY AM OR PM)	SCREENER RESULT	RELATION RESULT	FAMILY RESULT	SP QUEX RESULT						DUST RESULT	MEC APPOINTMENT SCHEDULING RESULT						COMMENTS
								1	2	3	4	5	6		1	2	3	4	5	6	
				AM																	
				PM																	
				AM																	
				PM																	
				AM																	
				PM																	
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				AM																	
				PM																	

INCENTIVE INFORMATION											
Name	Exam	Exam Transport	Child/Adult Care	Parental	Primary Exam Total		Dietary Phone Follow-up	Food Frequency Questionnaire	Physical Activity Monitor	Mental Health	Special Studies Total

Total Family Primary Exam Incentive: _____

Total Family Special Studies Incentive: _____

Sample Person Incentives

SP Exam Incentives

SPs 16+ who agree to fast and be examined at preselected time	\$100
SPs 16+ who refuse to fast and be examined at preselected time	\$ 70
SPs 12-15 who agree to fast and be examined at preselected time	\$ 50
SPs 12-15 who refuse to fast and be examined at preselected time	\$ 30
Diabetic SPs taking insulin	\$ 70
SPs under age 12	\$ 30

Parental Incentive

Non SP parents of SPs under 16 years (one time payment)	\$ 20
---	-------

Other Exam Incentives

Child/Adult Care	\$ 5.25/hr
Dietary Phone Follow Up	\$ 30
Mental Health Study	\$ 30
Food Frequency Questionnaire	\$ 30
Physical Activity Monitor	\$ 40

SP Transportation Allowance

Mileage to MEC	Cities	Rural Areas
<15 Miles	\$25	\$20
16 – 30 Miles	\$35	\$30
31 – 59 Miles	\$45	\$40
>60 Miles	\$55	\$50

5.8 Call Record Result Codes

On page five of the Household Folder you will find the result codes to be used on the Household Call Record (Exhibit 5-6). These codes will be defined in the next chapter on Contact Procedures.

5.9 Language Use

Information recorded in this section (Exhibit 5-7) will help the supervisor make assignments and organize work efficiently. Record all the languages spoken or used in the household. We are interested in languages that are **spoken fluently** and **regularly** by household members—not languages that one or more household members may have studied in school. Indicate whether a translator will be needed to conduct any of the household interviews.

Exhibit 5-6. Household Call Record Result Codes

CALL RECORD RESULT CODES			
SCREENER CODES	RELATIONSHIP CODES	SAMPLE PERSON/ FAMILY CODES	DUST COLLECTION CODES
Complete – No SP's..... 1	Complete..... 10	Complete..... 10	Complete..... 10
Complete – With SP's..... 2	Refusal/Breakoff..... 20	Illness..... 20	Illness..... 20
SUPERVISOR USE ONLY:			
Complete – No SP's Based on Non-HH Information..... 3	Not at Home..... 21	Consent Form Refusal..... 21	Consent Form Refusal..... 21
Complete – With SP's Based on Non-HH Information..... 4	Unavailable During Field Period..... 22	Refusal/Breakoff..... 22	Refusal/Breakoff..... 22
Out of Scope..... 5	Unavailable During Field Period..... 23	Not at Home..... 23	Not at Home..... 23
Unable To Enter Structure..... 6	Language Problem..... 24	Unavailable During Field Period..... 24	Unavailable During Field Period..... 24
Vacant..... 7	Other (Specify)..... 25	Language Problem..... 25	Language Problem..... 25
Not a Dwelling Unit..... 8		Other (Specify)..... 26	Other (Specify)..... 26
New Construction..... 9			
Illness..... 20			
Refusal/Breakoff..... 22			
Not at Home..... 23			
Unavailable During Field Period..... 24			
Language Problem..... 25			
Other (Specify)..... 26			

REASONS FOR REFUSING SP QUESTIONNAIRE OR MEC APPOINTMENT			
HEALTH RELATED REASONS	PERSONAL REASONS	SAMPLE PERSON/ FAMILY CODES	MEC/HOME EXAM
None..... 01	HH Interview/Dust Collection..... 12	Not Interested..... 12	Not Interested..... 12
Personal Ill Health..... 02	Doesn't Want to Be Bothered..... 13	Lack of Time..... 13	Lack of Time..... 13
Family Illness or Death..... 03	Nervous/Tired..... 14	Work Conflicts..... 14	Work Conflicts..... 14
Doctor Says No..... 04	Concerns About Privacy..... 15	Friends/Relatives Advise Against It..... 15	Friends/Relatives Advise Against It..... 15
Hospitalized..... 05	Suspicious..... 16	Have Own Doctor..... 16	Have Own Doctor..... 16
Disabled/Frail..... 06	Language Problems..... 17	Fearful of Results..... 17	Fearful of Results..... 17
Suspect Cognitively Impaired..... 07	Length of Interview..... 18	Fearful of Leaving House..... 18	Fearful of Leaving House..... 18
On Med/Alco/Dr..... 08	Friends/Relatives Advise Against It..... 19	Suspicious..... 19	Suspicious..... 19
Blind or Deaf..... 09	Concerns About Medicare or Other Federal Programs..... 20	Length of Exam..... 20	Length of Exam..... 20
	Never Spoke With SP, Only Intermediary ... 21	Distance to Exam Center..... 21	Distance to Exam Center..... 21
	Other (Specify)..... 22	Forgot to Fast..... 22	Forgot to Fast..... 22
		Reminder Notice Not Sent..... 23	Reminder Notice Not Sent..... 23
		Taxi Problem..... 24	Taxi Problem..... 24
		Weather Conditions..... 25	Weather Conditions..... 25
		Anti-Government Surveys..... 26	Anti-Government Surveys..... 26
		Moved..... 27	Moved..... 27
		Out of Town..... 28	Out of Town..... 28
		Other (Specify)..... 29	Other (Specify)..... 29

Exhibit 5-7. Household Result of Contacts Page

WHAT LANGUAGES ARE SPOKEN IN HOUSEHOLD?										HOUSEHOLD LANGUAGE USE										TRANSLATOR NEEDED?	
<input type="checkbox"/> ENGLISH <input type="checkbox"/> SPANISH <input type="checkbox"/> OTHER _____										<input type="checkbox"/> YES <input type="checkbox"/> NO											
RESULT OF CONTACT												MEC APPOINTMENT SCHEDULING RESULT						COMMENTS			
ATTEMPT #	INTER INITIALS	DAY OF WEEK	DATE	TIME (SPECIFY AM OR PM)	SCREENER RESULT	RELATION RESULT	FAMILY RESULT	SP/QUEX RESULT						DUST RESULT							
								1	2	3	4	5	6		1	2	3	4	5	6	

FOR OFFICE USE ONLY: WAS A NONRESPONSE LETTER SENT? ☐ YES ☐ NO

DATE SENT ☐ FED EX? ☐

THERE IS AN SP CARD FOR THIS HH ☐

5.10 Household Result of Contacts

The Household Result of Contacts (see Exhibit 5-7) is located on pages 4 and 6 of the Household Folder. It provides you with space to record information about each of your attempts to locate, contact, and complete the necessary work on the sampled household. The Result of Contacts page has four basic purposes:

1. It serves as a permanent record of your work on each case;
2. It helps you schedule your contact attempts efficiently;
3. It enables you to keep track of the current status of all of your assignments; and
4. It aids your supervisor in evaluating the progress you are making on your assignments and in giving you suggestions to help you in your work.

We will discuss how you complete the Result of Contacts and use the Call Record Result Codes in the next chapter on Contact Procedures.

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6. CONTACT PROCEDURES

This chapter provides a description of procedures you should follow to make contact with the household. It is essential that these procedures be observed since they have been designed to aid you in contacting all households in the sample as quickly and efficiently as possible.

6.1 Contact Attempts

To complete the Screener, Relationship, Family and SP questionnaires and the Dust Collection Process, you will be allowed to make a specific number of **attempts** to the sampled address. To be considered an attempt, your visit to a household:

- Must be made in person, not on the telephone;
- Must be made at a different time of day than previously unsuccessful attempts. That is, your visit must be made at a time that maximizes the possibility of finding someone at home; and
- Must be made by going to the household's door and knocking. In other words, simply driving by the house to see if it looks like someone is home does not count as an attempt.

Each one of your attempts to contact a household should satisfy the criteria listed here and you should record all attempts on the Call Record on the back of the Household Folder.

6.1.1 Planning Your Contacts

The main question to ask yourself when attempting to contact a household is, "When is a household adult most likely to be home?" For respondents who have daytime jobs, weekday evenings may be a good time. In industrial areas with plants that operate several shifts a day, many respondents may not be available on weekday evenings; you may have to try them on a morning or weekend. When your first attempt fails, try at a different time of day on your next attempt. So long as you have no better

information, continue to schedule your attempts at the different times respondents are likely to be at home. These are the following:

- Weekday evenings;
- Weekday afternoons;
- Weekend; and
- Weekday mornings.

Most people's lives fall into a pattern. There are certain times of the day and days of the week when they are usually at home. By timing your attempts to fit different patterns, you will increase your chances of contacting your respondent.

Remember, though, that it is most important to stagger the timing of your attempts when you have no additional information about when a respondent is likely to be home. Whenever you **do** have reasonably reliable information on when a respondent will be home—something learned from another member of the respondent's household, from a neighbor, or from your own observations of the neighborhood—take that information into account. **Plan** your attempts so that with each successive effort you have a better chance of finding the respondent at home.

6.1.2 Number of Attempts

You are allowed only a limited number of in-person attempts to each household assigned to you. Specifically, your supervisor will usually allow a total of **four** attempts or visits to the household to complete the Screener. Upon completion of the Screener, if the household contains SP(s), you will usually be allowed up to **four** additional attempts to complete the household interviews. However, please note that the number of visits allowed is a judgment call made by your supervisor. Often he or she will require you to make several **more** attempts to contact the household in order to finalize a case.

For most of your assigned addresses, you will find four attempts, **when scheduled efficiently**, more than adequate to complete the work. If you are, however, unable to complete a Screener within the first four attempts to a household or the remainder of the questionnaires within four additional attempts, you should complete an SP Card (see Chapter 10 for details about this form) and discuss the

case with your supervisor at your next conference. He or she may require several more attempts depending upon the likelihood of finalizing the case. **Never** make further attempts unless instructed to do so by your supervisor.

6.1.3 Neighbor Contacts

Whenever you make an in-person attempt and find that no one is home at the assigned dwelling unit (DU), you should make an effort to contact a neighbor to obtain information **on a likely time to find someone at home**. During neighbor contacts you should perform the following:

- Introduce yourself. State your name, that you are working on a health study for the U.S. Public Health Service, show your ID, and explain the purpose of your visit.
- Obtain the "best time" to call on the assigned household. (Be sure the neighbor understands which household you are referring to.) This does not have to be a specific day or time; any information about the household's availability should be recorded. Record whatever information you obtain on the Call Record as well as the name, position or description of, and the address for, the person you spoke to.

There are four basic considerations to keep in mind whenever you contact a neighbor:

1. "Neighbor" refers not only to the person who lives next door to the assigned household but also to anyone in the immediate vicinity—a building manager, a mailman passing by, someone in the yard across the street from the assigned address—who might be able to give you information about the household.
2. Before contacting a nearby resident, always check your other assignments and Listing Sheets for the area to make sure the neighbor household you choose is not a sampled household itself. Do not attempt a neighbor contact at an address you will be contacting later for an interview. However, once you have completed the interview, you may use that household as a neighbor contact.
3. Never contact the same neighbor more than once.
4. Unless specifically asked, do not leave the advance letter or any study specific materials with the neighbor you contact. You may leave the Call-Back card at the assigned address when no one is at home at the time of your attempt (see Chapter 10).
5. Neighbor contacts should be recorded on the Call Record on the back of the Household Folder.

6. SPECIAL NOTE: If, after two attempts at the selected DU, it appears that you may not reach an eligible household member, be sure to attempt to complete the Neighbor Information Form with two knowledgeable neighbors. SEE SECTION 10.3 SPECIFICATIONS.

6.2 Using the Result of Contacts Page

It is essential that you keep the Result of Contacts page (Exhibit 6-1) current by making your entries immediately after each attempt. This page should be completed according to the following specifications:

- **Attempt Number:** All attempts are entered on the Result of Contacts page as they occur. All in-person attempts should be consecutively numbered in this column.
- **Interviewer Initials:** Enter your initials.
- **Day of Week:** Using abbreviations, enter the day of the week (e.g., Fri.).
- **Date:** Enter digits to represent the month, day and year (e.g., 10/6/99).
- **Time:** Enter the time of your attempt and specify AM or PM.
- **Result of Contact:** Enter a result code for **each contact attempt you make to complete any part of a case** (i.e., Screener, Relationship, Sample Person, Family, Dust Collection, or Appointment Scheduling). All of the result codes, as they appear on the Household Folder, and their definitions are provided in Section 6.3.
- **Remarks:** Enter all information that helps to describe what happened during a contact that does not have a final result.
- **WAS A NON RESPONSE LETTER SENT:** For field office use only.

6.3 Entering Result Codes on the Household Folder

Every attempt you make to locate, contact, and interview a household must be recorded on the Result of Contacts page and given a result code. All of the result codes are listed on page five of the Household Folder (see Exhibit 6-2).

WHAT LANGUAGES ARE SPOKEN IN HOUSEHOLD? ☐ ENGLISH ☐ SPANISH ☐ OTHER _____

HOUSEHOLD LANGUAGE USE

TRANSLATOR NEEDED? ☐ YES ☐ NO

[illegible]

THERE IS AN SP CARD FOR THIS HH

Exhibit 6-2. Household Call Record

CALL RECORD RESULT CODES			
SCREENER CODES	RELATIONSHIP CODES	SAMPLE PERSON/ FAMILY CODES	DUST COLLECTION CODES
Complete - No SP's..... 1	Complete..... 10	Complete..... 10	Complete..... 10
Complete - With SP's..... 2	Illness..... 20	Illness..... 20	Illness..... 20
SUPERVISOR USE ONLY:			
Complete - No SP's Based on Non-HH Information..... 3	Refusal/Breakoff..... 22	Consent Form Refusal..... 21	Consent Form Refusal..... 21
Complete - With SP's Based on Non-HH Information..... 4	Not at Home..... 23	Refusal/Breakoff..... 22	Refusal/Breakoff..... 22
Out of Scope..... 5	Unavailable During Field Period..... 24	Not at Home..... 23	Not at Home..... 23
Unable To Enter Structure..... 6	Language Problem..... 25	Unavailable During Field Period..... 24	Unavailable During Field Period..... 24
Vacant..... 7	Other (Specify)..... 26	Language Problem..... 25	Language Problem..... 25
Not a Dwelling Unit..... 8		Other (Specify)..... 26	Other (Specify)..... 26
New Construction..... 9			
Illness..... 20			
Refusal/Breakoff..... 22			
Not at Home..... 23			
Unavailable During Field Period..... 24			
Language Problem..... 25			
Other (Specify)..... 26			

REASONS FOR REFUSING SP QUESTIONNAIRE OR MEC APPOINTMENT			
HEALTH RELATED REASONS	PERSONAL REASONS	SAMPLE PERSON/ FAMILY CODES	MEC/HOME EXAM
None..... 01	HH INTERVIEW/DUST COLLECTION		
Personal Ill Health..... 02	Not Interested..... 12		Not Interested..... 24
Family Illness or Death..... 03	Doesn't Want to Be Bothered..... 13		Lack of Time..... 25
Doctor Says No..... 04	Nervous/Tired..... 14		Work Conflicts..... 26
Hospitalized..... 05	Concerns About Privacy..... 15		Friends/Relatives Advise Against It..... 27
Disabled/Frail..... 06	Suspicious..... 16		Have Own Doctor..... 28
Suspect Cognitively Impaired..... 07	Language Problems..... 17		Fearful of Results..... 29
On Med/Alco/Dr..... 08	Length of Interview..... 18		Fearful of Leaving House..... 30
Blind or Deaf..... 09	Friends/Relatives Advise Against It..... 19		Suspicious..... 31
	Concerns About Medicare or Other Federal Programs..... 20		Length of Exam..... 32
	Never Spoke With SP, Only Intermediary .. 21		Distance to Exam Center..... 33
	Other (Specify)..... 22		Forgot to Fast..... 34
			Reminder Notice Not Sent..... 35
			Taxi Problem..... 36
			Weather Conditions..... 37
			Anti-Government Surveys..... 38
			Moved..... 39
			Out of Town..... 40
			Other (Specify)..... 41

HOME EXAM APPT SCHEDULING CODES	
TO BE USED BY INTERVIEWERS/F.O. SCHEDULING THE HOME EXAM	HOME EXAM RESULT CODES
Scheduled..... 11	Examined..... E
Illness..... 20	Canceled..... C
Consent Form Refusal..... 21	No Show..... NS
Refusal/Breakoff..... 22	
Not at Home..... 23	
Unavailable During Field Period..... 24	
Language Problem..... 25	
Other (Specify)..... 26	
Qualified/Not Offered..... 27	

The outcome for each Screener, Relationship, Sample Person, Family Questionnaire, the Dust Collection Process and scheduling the mobile examination center (MEC) appointment, should be assigned a one or two digit result code. Screener result codes will be used for **every** household; then, depending on the outcome of the Screener, you **may** also use Relationship, Sample Person, Family, Dust Collection and Exam Appointment Scheduling codes.

Screener Result Codes

The code should be recorded on the appropriate line of the Result of Contacts page under the Screener result column.

All of the Screener result codes, as they appear on the Household Folder, and their definitions, are provided below.

- 1 - **Complete, No SPs:** A Screener has been completed but no SPs have been selected for the study.
- 2 - **Complete, With SPs:** A Screener has been completed and the household has one or more SPs.
- 3 - FOR SUPERVISOR USE ONLY.
- 4 - FOR SUPERVISOR USE ONLY.
- 5 - FOR SUPERVISOR USE ONLY.
- 6 - **Unable to Enter Structure:** It is not possible to contact the sampled household because of a security system that keeps the building locked and you have tried to enter by contacting the building management staff, etc.
- 7 - **Vacant:** The unit is unoccupied at the time of contact.
- 8 - **Not a Dwelling Unit:** The unit does not qualify as a dwelling unit (e.g., seasonal home, commercial, etc.). The unit has been demolished, destroyed, or cannot be found.
- 20 - **Illness:** A Screener cannot be completed because the person(s) living in the household have a **serious** health or physical problem that prevents them from being interviewed.
- 22 - **Refusal/Breakoff:** A Screener cannot be started because the respondent refuses to answer any questions (REFUSAL). A Screener cannot be completed because the respondent refuses to continue after answering one (or more) question(s) (BREAKOFF).

- 23 - **Not At Home:** You were unable to find an eligible Screener respondent at home.
- 24 - **Unavailable During Field Period:** A Screener cannot be completed because all adult household members are away and will not be back for the duration of the field period (e.g., institutionalized, on vacation, out of country, etc.).
- 25 - **Language Problems:** A Screener cannot be completed because all household members speak a language other than English or Spanish and a household translator is not available.
- 26 - **Other:** A Screener cannot be completed because of a reason other than those listed above. SPECIFY in "Remarks" column.

Relationship Codes

If you have completed the Screener and there is at least one eligible person in the household, you will be required to ask several more questions about the relationship of household members to each other. Although these questions are considered to be part of the screening process on NHANES, they actually constitute a separate questionnaire. Therefore, you will need to assign a two digit result code to this Relationship questionnaire. The code is recorded when the relationship questions have been answered (complete) or when all attempts to complete the questionnaire have resulted in a final code. The code is recorded under the appropriate line of the call record under "Relationship Results".

- 10 - **Complete:** The Relationship Questionnaire have been completed.
- 20 - **Illness:** The Relationship Questionnaire cannot be completed because the person(s) living in the household have a **serious** health or physical problem that prevents them from being interviewed.
- 22 - **Refusal/Breakoff:** The Relationship Questionnaire cannot be started because the person refuses to answer any questions (REFUSAL). The Relationship questions cannot be completed because the respondent refuses to continue after answering one or more questions (BREAKOFF).
- 23 - **Not At Home:** You were unable to find an eligible respondent at home.
- 24 - **Unavailable During Field Period:** The Relationship Questionnaire cannot be completed because all adult family members are unavailable for the duration of the field period (e.g., institutionalized, on vacation, out-of-country, etc.).
- 25 - **Language Problem:** The Relationship Questionnaire cannot be completed because all eligible respondents speak a language other than English or Spanish and a household translator is not available.

- 26 - **Other:** A Relationship Questionnaire cannot be completed because of a reason other than those listed above. SPECIFY in "Remarks" column.

Family Result Codes

For eligible households you will need to assign a two digit result code for the Family Questionnaire. Note: You may be required to administer more than one Family Questionnaire in a household. If this is the case, start your Result of Contacts in a new row, leaving space between families, place the appropriate Family Number in the "Result Code" box. (See Example #3 on page 6-15.) The code is recorded on the appropriate line of the Call Record under the "Family Result" column.

- 10 - **Complete:** A Family Questionnaire has been completed with an adult family member.
- 20 - **Illness:** The Family Questionnaire cannot be completed because all adult family members have a **serious** health or physical problem that prevents them from being interviewed.
- 21 - **Consent Form Refusal:** The Family Questionnaire cannot be started because the respondent refuses to sign the Household Interview Consent Form.
- 22 - **Refusal/Breakoff:** The Family Questionnaire cannot be started because the respondent refuses to answer any questions for reasons other than the consent form (REFUSAL). The respondent begins the Family Questionnaire but refuses to continue before it is completed (BREAKOFF).
- 23 - **Eligible Respondent Not at Home:** There is no adult family member at home to complete the Family Questionnaire.
- 24 - **Eligible Respondent Unavailable During Field Period:** The Family Questionnaire cannot be completed because all adult family members are unavailable for the duration of the field period (e.g., institutionalized, on vacation, out of country, etc.).
- 25 - **Language Problem:** The Family Questionnaire cannot be administered because all family members speak a language other than Spanish or English and a household translator is not available.
- 26 - **Other:** A Family Questionnaire cannot be completed because of a reason other than those listed above. SPECIFY in "Remarks" column.

Sample Person (SP) Codes

If you have completed the Screener and there is at least one SP (Screener Result Code = 2), you will need to assign a two digit code for **each** SP selected in the household. The SP Result Code should be recorded on the appropriate line of the Call Record for the correct SP. The SP Quex box number on the Call Record should correspond to the SP's Person Number in the Participant ID.

- 10 - **Complete:** The SP Questionnaire has been completed with the SP or a proxy respondent.
- 20 - **Illness:** The SP Questionnaire cannot be completed because the SP (or the proxy) has a **serious** health or physical problem that prevents him/her from being interviewed and no proxy respondent is available.
- 21 - **Consent Form Refusal:** The SP Questionnaire cannot be started because the SP refuses to sign the Interview Consent Form.
- 22 - **Refusal/Breakoff:** The SP Questionnaire cannot be started because the SP refuses to answer any question for reasons other than the consent form (REFUSAL). The SP begins the SP Questionnaire but refuses to continue before it is completed (BREAKOFF).
- 23 - **Not at Home:** An attempt was made to contact the SP but s/he was not at home.
- 24 - **Unavailable During Field Period:** The SP Questionnaire cannot be completed because the SP is away and will not be back for the duration of the field period (e.g., institutionalized, on vacation, out of country, etc.).
- 25 - **Language Problem:** The SP Questionnaire cannot be completed because the SP or proxy speaks a language other than English or Spanish and no household translator is available.
- 26 - **Other:** The SP Questionnaire cannot be completed because of a reason other than those listed above. SPECIFY in "Remarks" column.

Dust Collection Codes

If the household has been selected for the dust collection process, you will need to assign a two digit Dust Collection result code to indicate the final outcome of this process. These codes are specified below:

- 10 - **Complete:** The Dust Collection process has been completed with an adult household member.
- 20 - **Illness:** The Dust Collection process cannot be completed because all adult family members have a **serious** health or physical problem that prevents the interviewer from performing the dust collection process.
- 21 - **Consent Form Refusal:** The Dust Collection process cannot be started because the respondent refuses to sign the Dust Collection Consent Form.
- 22 - **Refusal/Breakoff:** The Dust Collection process cannot be started because the respondent refuses to allow the process to begin for reasons other than the consent form (REFUSAL). The respondent begins the Dust Collection process but refuses to continue before it is completed (BREAKOFF).
- 23 - **Eligible Respondent Not at Home:** There is no adult family member at home to complete the Dust Collection process.
- 24 - **Eligible Respondent Unavailable During Field Period:** The Dust Collection process cannot be completed because all adult family members are unavailable for the duration of the field period (e.g., institutionalized, on vacation, out of country, etc.).
- 25 - **Language Problem:** The Dust Collection process cannot be completed because all family members speak a language other than Spanish or English and a household translator is not available.
- 26 - **Other:** The Dust Collection process cannot be completed because of a reason other than those listed above. SPECIFY in "Remarks" column.

MEC Exam Appointment Scheduling Codes

When you have completed all the necessary questionnaires for an SP you will need to assign a two digit MEC Exam Appointment Scheduling Code to indicate the result of your attempt to schedule the SP for an exam appointment.

All of the Exam Appointment Scheduling result codes as they appear on the Household Folder and their definitions are provided below.

- 11 - **Appointment Scheduled:** MEC appointment has been confirmed for an SP.
- 20 - **Illness:** The MEC exam appointment cannot be made because the SP has a **serious** health or physical problem that prevents him/her from being examined.

- 21 - **Consent/Assent Form Refusal:** The SP/parent refuses to make a MEC appointment because the SP/parent refuses to sign the MEC Consent Form.
- 22 - **Refusal:** The SP/parent refuses to make a MEC appointment for reasons other than the consent form.
- 23 - **Not At Home:** The eligible SP/parent is not at home to set up a MEC appointment.
- 24 - **Unavailable During Field Period:** The MEC exam appointment cannot be made because the SP is unavailable for the duration of the field period (e.g., institutionalized, on vacation, out of country, etc.).
- 25 - **Language Problem:** The MEC exam appointment cannot be made because the SP speaks a language other than English or Spanish and no household translator is available.
- 26 - **Other:** The questionnaire cannot be completed because of a reason other than those listed above. SPECIFY in "Remarks" column.

Note: Reason Codes (bottom left) are discussed in Chapter 10.

Examples of Entries on the Result of Contacts Page

The following examples illustrate some situations an interviewer could encounter and how the Household Call Record would be completed for each.

Interviewer MCS made an initial, attempt to a DU and found no one at home. On the second visit he contacted the female head of household in a single-family household and completed the Screener and Relationship questions. Three SPs were selected: #1 - the wife, #2 - her 20-year-old daughter, and #3 - her 10-year-old son. He completed the SP Questionnaire with the wife. She was also the proxy respondent for the SP Questionnaire for the 10-year-old child. The Family Questionnaire was completed, and examination appointments for the mother and the son were scheduled. The daughter was at work, so he arranged an appointment to return the following evening. On the third visit, he completed the SP Questionnaire with the daughter and made an examination appointment with her. This household was not selected for the Dust Collection process.

WHAT LANGUAGES ARE SPOKEN IN HOUSEHOLD? ☒ ENGLISH ☐ SPANISH ☐ OTHER _____

HOUSEHOLD LANGUAGE USE

TRANSLATOR NEEDED? ☐ YES ☒ NO

[illegible]

THERE IS AN SP CARD FOR THIS HH

☐ YES  DATE SENT ☐ FED EX? ☐

WAS A NONRESPONSE LETTER SENT?

FOR OFFICE USE ONLY:

Interviewer RTL made two unsuccessful attempts to a DU. After contacting a neighbor, she found out they were usually home on Saturday afternoons. On the third attempt, she completed the Screener and the Relationship questions with a household adult. There were two families in the household—the first family had 1 SP while the second family had two SPs—one adult and one child 12 years old. Since all household members had other commitments that day, the interviewer arranged an appointment to return the following afternoon. At that time, she completed the Family and SP Questionnaire for the first family, and the Family Questionnaire and both Sample Person Questionnaires for the second family. She also scheduled examination appointments for all SPs. This household was not selected for Dust Collection.

[illegible]

Interviewer ROC made an initial attempt to a DU and completed the Screener and Relationship questions with the father of a four person family household. Two adult SPs (wife and daughter) and one child SP (son) were selected. SP #1 (wife) was at work. SP #3 (daughter) was traveling and was not expected home for at least 4 months. The interviewer completed the Family Questionnaire and the child's (SP #2) Questionnaire with the father of the family. He also scheduled an examination appointment for the young son (SP #2). Since the household **was** selected for Dust Collection, he completed this process while he was there. He returned to the household on Saturday but no one was home. After contacting other DUs in the area, he stopped by again. SP #1 (wife) was home, and he completed the SP Questionnaire and scheduled an examination appointment with her.

WHAT LANGUAGES ARE SPOKEN IN HOUSEHOLD? ☒ ENGLISH ☐ SPANISH ☐ OTHER _____

HOUSEHOLD LANGUAGE USE

TRANSLATOR NEEDED? ☐ YES ☒ NO

[illegible]

FOR OFFICE USE ONLY: WAS A NONRESPONSE LETTER SENT? ☐ YES ☐ NO

DATE SENT

FEDEX? ☐

THERE IS AN SP CARD FOR THIS HH ☐

Interviewer KLA made an initial attempt to a DU and completed the Screener and Relationship Module. All 4 members of the household were identified as SPs but were too busy to complete any further interviews. The interviewer was told to come back in the morning of the next day but when she did, no one was home. The interviewer made a third attempt that evening. At that time she completed all SP questionnaires, the Family questionnaire and made appointments for all SPs to come to the MEC. The household was not eligible for the dust collection process.

[illegible]

THERE IS AN SP CARD FOR THIS HH

6.4 Accessing Your Cases on the Pentop

When Screener cases are assigned to you, they are also loaded onto your pentop. For each Screener with an eligible SP, you will need to do several other interviews (modules). CAPI will create the necessary modules for you to work. Those modules are:

- A set of Relationship questions for each household.
- An SP Questionnaire for each eligible SP.
- A Family Questionnaire for each family with an SP.
- A Dust Collection Module. (If the household has a child age 1-5.)
- An Appointment Module to be completed for **each** SP when the MEC appointment is scheduled (see Chapter 8).

CAPI offers you several ways to view all the cases assigned to you and all the modules of each case. To view your list of cases, double tap on the Interview Management Icon and single tap on the "Interview" button in the upper left hand corner of the screen.

CAPI will automatically default to your list of Screener cases. A list of Screener cases is displayed in Exhibit 6-3. Note the following:

- The shaded bar near the top of the screen indicates the type of cases you have accessed. In Exhibit 6-3, the shaded bar is labeled "List Displayed: Screener Cases",
- The color of the rows representing each Screener case (light blue) corresponds to the button labeled "Screener" in the bottom left hand corner of your screen.
- You may view other lists of modules assigned to you (Relationship Questions, SP Questionnaires, Family Questionnaires, Dust Collection Questionnaire and Appointment Modules) by tapping **once** on the appropriate button at the bottom of the screen. (Exhibits 6-4 through 6-8.)
- You may view a list of **all** cases assigned to you (i.e., the Screener, Relationship Questions, SP Questionnaires, Family Questionnaires, Dust Collection Module, and Appointment Module) by tapping **once** on the "ALL CASES" button in the upper left corner above your case list (Exhibit 6-9).

Exhibit 6-3. List of Screener Cases

Interview Manager - Stand ID: 999 Emp ID: 1033 - [Interviewer Case List]

File View Tools Help

List Displayed: Screener Cases

All Cases

HH List

06	0001	00	00	New Construction (final)	1117 PALMER RD #10 FT WASHINGTON, 20744
06	0002	00	00	New Construction (final)	1117 PALMER RD #14 FT WASHINGTON, 20744
06	0003	00	00	Not Worked	1201 PALMER RD #3 FT WASHINGTON, 20744
06	0005	00	00	Complete, No SPs (final)	N 1201 PALMER RD #11 FT WASHINGTON, 20744
06	0007	00	00	Complete, with SPs (final)	1203 PALMER RD #5 FT WASHINGTON, 20744
06	0008	00	00	Language Problem (reassign)	1203 PALMER RD #9 FT WASHINGTON, 20744
06	0009	00	00	Complete, No SPs (final)	1203 PALMER RD #13 FT WASHINGTON, 20744
06	0010	00	00	Not Worked	1205 PALMER RD #3 FT WASHINGTON, 20744
06	0011	00	00	Partially Worked	1205 PALMER RD #7 FT WASHINGTON, 20744
06	0014	00	00	Complete, with SPs (final)	1207 PALMER RD #7 FT WASHINGTON, 20744
06	0015	00	00	Not Worked	1207 PALMER RD #11 FT WASHINGTON, 20744

Screeners

Relations

Families

Persons

Appts

Dust

Ready

- To see a list of modules for a **specific case**, tap once on the appropriate case from any case list then tap once on the "H.H. LIST" button in the upper right hand corner of the case list.

Exhibit 6-4 through 6-10 are examples of the various assignment lists you may access of your pentop.

6.5 Entering Final Result Codes (Dispositions) on Your Pentop

CAPI **automatically** assigns a "COMPLETE" result to the Screener when you administer it. CAPI also automatically assigns a "Complete" result for the other modules of the case (Relationship, SP, Family and Dust Collection) after you have completed them except for the appointment module.

A finalized or reassign result code must be entered for each module (Screener, Relationship, SP, Family Questionnaire, Dust Collection and the Consent/Appointment Module) when:

- The questionnaire is to be pulled from your pentop (you no longer will attempt to work on the questionnaire and you are turning it in to your supervisor), or
- When you exit the questionnaire before it has been completed and it is to be reassigned or finalized.

Specifications for entering results appear below.

- Go to any case list on your pentop (All Cases, H.H. List, Screener, Relations, Families, Persons, App, or Dust) by tapping **once** on the appropriate tab.
- Tap **once** on the Menu Item labeled "Tools" at the top of the screen.
- When the drop down list appears, tap **once** on "Turn on Disposition".
- You will then see an arrow next to each one of your cases. Tap **once** on this arrow to pull down a list of results.
- Tap once on the appropriate result. (Exhibit 6-11.)

These dispositions should only be entered after discussion with and specific direction from your SM.

Exhibit 6-4. List of Relationship Questionnaires

Interview Manager - Stand ID: 999 Emp ID: 1033 - [Interviewer Case List]					
File View Tools Help					
List Displayed: Relationship Cases					
All Cases					HH List
06	0007	00	00	Complete (final)	1203 PALMER RD #5 FT WASHINGTON, 20744
06	0014	00	00	Complete (final)	1207 PALMER RD #7 FT WASHINGTON, 20744
06	0017	00	00	Complete (final)	1115 PALMER RD #8 FT WASHINGTON, 20744
06	0019	00	00	Complete (final)	1117 PALMER RD #2 FT WASHINGTON, 20744
06	0020	00	00	Complete (final)	1117 PALMER RD #6 FT WASHINGTON, 20744
07	0009	00	00	Complete (final)	3444 BRINKLEY RD #303 TEMPLE HILLS, 20748
07	0012	00	00	Complete (final)	3126 BRINKLEY RD #202 TEMPLE HILLS, 20748
07	0013	00	00	Complete (final)	3142 BRINKLEY RD #304 TEMPLE HILLS, 20748
07	0014	00	00	Complete (final)	3138 BRINKLEY RD #104 TEMPLE HILLS, 20748
07	0015	00	00	Not Worked	3132 BRINKLEY RD #104 TEMPLE HILLS, 20748
07	0017	00	00	Complete (final)	3142 BRINKLEY RD #102 TEMPLE HILLS, 20748
<div> <div>Screeners</div> <div>Relations</div> <div>Families</div> <div>Persons</div> <div>Appts</div> <div>Dust</div> </div>					
Ready					

Exhibit 6-5. List of Person (SP) Questionnaires

Interview Manager - Stand ID: 999 Emp ID: 1033 - [Interviewer Case List]					
File View Tools Help					
List Displayed: Person Cases					
All Cases					HH List
07	0013	01	01	Not Worked	Janice SMITH
07	0013	01	02	Not Worked	YOLANDA SMITH
07	0014	01	01	Not Worked	JAN TRABER
07	0017	01	01	Not Worked	ADAM SAUL
07	0017	01	02	Refusal (reassign)	AARON SAUL
15	0006	01	01	Language Problem (reassign)	ALBERT HAIRSTON
15	0008	01	01	Not Worked	JULIAN DRAKE
15	0008	01	02	Complete (final)	PAULA DRAKE
15	0008	01	03	Complete (final)	JEREMY DRAKE
15	0008	01	04	Complete (final)	MELANIE DRAKE
15	0008	02	01	Partially Worked	ALLYSON MARCUS
<div> <div>Screeners</div> <div>Relations</div> <div>Families</div> <div>Persons</div> <div>Appts</div> <div>Dust</div> </div>					
Ready					

Exhibit 6-6. List of Family Questionnaires

Interview Manager - Stand ID: 999 Emp ID: 1033 - [Interviewer Case List]					
File View Tools Help					
List Displayed: Family Cases					
All Cases					HH List
06	0019	01	00	Not Worked	James Deadwyler
06	0020	01	00	Not Worked	Darius Posey
07	0009	01	00	Not Worked	Laisha Proctor
07	0012	01	00	Complete (final)	Shirley Boyd
07	0013	01	00	Complete (final)	Jan Smith
07	0014	01	00	Complete (final)	Jan Traber
07	0017	01	00	Refusal (reassign)	Adam Saul
15	0006	01	00	Language Problem (reassign)	Albert Hairston
15	0008	01	00	Complete (final)	Julian Drake
15	0008	02	00	Partially Worked	Allyson Marcus
15	0012	01	00	Not Worked	Eddie Lamb
<div> <div>Screeners</div> <div>Relations</div> <div>Families</div> <div>Persons</div> <div>Appts</div> <div>Dust</div> </div>					
Ready					

Exhibit 6-7. List of Appointment Cases

Interview Manager - Stand ID: 999 Emp ID: 1033 - [Interviewer Case List]					
File View Tools Help					
List Displayed: Appointment Cases					
All Cases					HH List
07	0013	01	01	Scheduled (final)	Janice SMITH
07	0013	01	02	Scheduled (final)	YOLANDA SMITH
07	0014	01	01	Scheduled (final)	JAN TRABER
07	0017	01	01	Refusal (reassign)	ADAM SAUL
07	0017	01	02	Refusal (reassign)	AARON SAUL
15	0006	01	01	Language Problem (reassign)	ALBERT HAIRSTON
15	0008	01	01	Not Worked	JULIAN DRAKE
15	0008	01	02	Not Worked	PAULA DRAKE
15	0008	01	03	Scheduled (final)	JEREMY DRAKE
15	0008	01	04	Scheduled (final)	MELANIE DRAKE
15	0008	02	01	Scheduled (final)	ALLYSON MARCUS
<div> <div>Screeners</div> <div>Relations</div> <div>Families</div> <div>Persons</div> <div>Appts</div> <div>Dust</div> </div>					
Ready					

Exhibit 6-8. List of Dust Collection Questionnaires

Interview Manager - Stand ID: 999 Emp ID: 1033 - [Interviewer Case List]

File View Tools Help

List Displayed: Dust Cases

All Cases HH List

06	0020	01	03	Not Worked	SARA POSEY
07	0009	01	04	Complete (final)	JASMINE PROCTOR
07	0013	01	02	Not Worked	YOLANDA SMITH
07	0017	01	02	Refusal (reassign)	AARON SAUL
15	0008	01	04	Complete (final)	MELANIE DRAKE
15	0013	01	02	Complete (final)	ANTAR EVANS

Count: 6

Screeners Relations Families Persons Appts Dust

Ready Thursday, March 04, 1999

Exhibit 6-9. List of All Cases

Interview Manager - Stand ID: 999 Emp ID: 1033 - [Interviewer Case List]

File View Tools Help

List Displayed: All Cases

All Cases					HH List
07	0013	00	00	Complete, with SPs (final)	3142 BRINKLEY RD #304 TEMPLE HILLS, 20748
07	0013	00	00	Complete (final)	3142 BRINKLEY RD #304 TEMPLE HILLS, 20748
07	0013	01	00	Complete (final)	Jan Smith
07	0013	01	01	Not Worked	Janice SMITH
07	0013	01	01	Scheduled (final)	Janice SMITH
07	0013	01	02	Not Worked	YOLANDA SMITH
07	0013	01	02	Scheduled (final)	YOLANDA SMITH
07	0013	01	02	Not Worked	YOLANDA SMITH
07	0014	00	00	Complete, with SPs (final)	3138 BRINKLEY RD #104 TEMPLE HILLS, 20748
07	0014	00	00	Complete (final)	3138 BRINKLEY RD #104 TEMPLE HILLS, 20748
07	0014	01	00	Complete (final)	Jan Traber

Screeners

Relations

Families

Persons

Appts

Dust

Ready

Exhibit 6-10. List of Household Level Cases

Interview Manager - Stand ID: 999 Emp ID: 1033 - [Interviewer Case List]					
File View Tools Help					
List Displayed: HouseHold with Segment_no: 15 and serial_no = 8					
All Cases					HH List
15	0008	00	00	Complete, with SPs (final)	N 7200 LANDOVER RD #E LANDOVER, 20785
15	0008	00	00	Complete (final)	N 7200 LANDOVER RD #E LANDOVER, 20785
15	0008	01	00	Complete (final)	Julian Drake
15	0008	01	01	Not Worked	JULIAN DRAKE
15	0008	01	01	Not Worked	JULIAN DRAKE
15	0008	01	02	Complete (final)	PAULA DRAKE
15	0008	01	02	Not Worked	PAULA DRAKE
15	0008	01	03	Complete (final)	JEREMY DRAKE
15	0008	01	03	Scheduled (final)	JEREMY DRAKE
15	0008	01	04	Complete (final)	MELANIE DRAKE
15	0008	01	04	Scheduled (final)	MELANIE DRAKE
<div>Screeners</div> <div>Relations</div> <div>Families</div> <div>Persons</div> <div>Appts</div> <div>Dust</div>					
Ready					

Exhibit 6-11. Example of CAPI Screen Containing List of Results

Interview Manager - Stand ID: 999 Emp ID: 1033 - [Interviewer Case List]

File View Tools Help

List Displayed: Screener Cases

All Cases				HH List	
06	0001	00	00	New Construction (final)	1117 PALMER RD #10 FT WASHINGTON, 20744
06	0002	00	00	New Construction (final)	1117 PALMER RD #14 FT WASHINGTON, 20744
06	0003	00	00	Not Worked	1201 PALMER RD #3 FT WASHINGTON, 20744
06	0005	00	00	Illness (reassign)	1117 PALMER RD #11 FT WASHINGTON, 20744
06	0007	00	00	Language Problem (reassign)	FT WASHINGTON, 20744
06	0008	00	00	Not a DU (final)	FT WASHINGTON, 20744
06	0009	00	00	Not at home after multiple attempts (reassign)	FT WASHINGTON, 20744
06	0009	00	00	Other Specify (reassign)	FT WASHINGTON, 20744
06	0010	00	00	Partially Worked	FT WASHINGTON, 20744
06	0010	00	00	Refusal (reassign)	FT WASHINGTON, 20744
06	0011	00	00	Partially Worked	1205 PALMER RD #7 FT WASHINGTON, 20744
06	0014	00	00	Complete, with SPs (final)	1207 PALMER RD #7 FT WASHINGTON, 20744
06	0015	00	00	Not Worked	1207 PALMER RD #11 FT WASHINGTON, 20744

Screeners Relations Families Persons Appts Dust

Ready

- After you are finished entering results, tap on the "Tools" menu item again and when the drop down list appears, tap **once** on "Turn Off Disposition".
- The results for each case module are identical to those listed on page 5 of the Household Folder. Note: Results on your pentop appear as text descriptions; they are not associated with a number code.
- The default result for a module is "NOT WORKED". This text will appear until you complete the module or change it to a finalized result.
- The finalized results you enter for the modules of each case in your assignment will appear on your Interviewer Conference Report (see Chapter 13). Your supervisor will review each result and decide what action to take next. If the case should no longer be assigned to you, all modules of the case will be removed from your pentop during the case transfer process.

6.6 Entering Results (Dispositions) for Cases That Have Been Started But Not Completed

Whenever you exit any of the household interviews **after they have been started but before** you have asked the last question, CAPI will present a screen containing a list of disposition codes prompting you to enter the **reason** you exited the interview before completing it. Exhibit 6-12 provides an example of this screen. A list of these results with definitions are provided below.

- **Partially Worked:** Started questionnaire. A questionnaire an interviewer is unable to complete but expects to complete at another time.
- **Illness (reassign):** An interview cannot continue because the person(s) living in the household have a serious health or physical problem that prevents them from being interviewed.
- **Language Problem (reassign):** An interview cannot continue because all household members speak a language other than English or Spanish and a household translator is not available.
- **Refusal (reassign):** The respondent refuses to continue with the interview.
- **Not at Home After Multiple Attempts:** You have already accessed the first screen in the interview, however, after visiting a DU at least four times you were unable to find an eligible Screener respondent at home. Keep in mind that this code is assigned only after four attempts have been made to find someone at home.

Exhibit 6-12. Example of CAPI Breakoff

PLEASE SELECT A DISPOSITION CODE.

Partially Worked
Illness (reassign)
Language Problem (reassign)
Refusal (reassign)
Not at home after multiple attempts (reassign)
Unavailable during field period (reassign)
Unable to enter structure (reassign)
☐ Other Specify (reassign)
☒ Refused Because of Consent (reassign)

RIQBRK

Pad

Navigation buttons: Previous, Next

- **Unavailable During Field Period (reassign).**
- **Other Specify (reassign):** An interview cannot be completed because of a reason other than those listed above. SPECIFY in "Remarks" column.
- **Refused Because of Consent (reassign).**
- **Unable to Enter Structure (Screener only):** It is not possible to contact the sampled household because of a security system that keeps the building locked and you have tried to enter by contacting the building management staff, etc.
- **Vacant (Screener only):** The unit is unoccupied at the time of contact.
- **Not a Dwelling Unit (Screener only):** The unit does not qualify as a dwelling unit (e.g., seasonal home, commercial, etc.). The unit has been demolished, destroyed or cannot be found.

Always use the partially work code unless instructed to do so by your SM.

7. DUST COLLECTION

7.1 Overview

The NHANES household interviewers will collect wipe samples of settled household dust in households where there is a child age 1 to 5. These dust samples will be collected from the floor and window sill in the room in which the sampled child spends the most time while awake. The dust results will be examined together with blood obtained from the same children in the MEC to examine the association between lead contaminated house dust and children's blood lead levels.

Lead is a known environmental toxin that has been shown to pose a serious threat to various body systems (e.g., nervous, hematopoietic, endocrine, renal and reproductive) in humans. In young children, lead exposure is a particular hazard because children more readily absorb lead than do adults, and children's developing nervous systems also make them more susceptible to the effects of lead.

Blood lead levels measured in previous NHANES programs have been the cornerstone of lead exposure surveillance in the U.S. The data have been used to document the burden of and dramatic decline of elevated blood lead levels; to promote the reduction of lead use; and to help to redefine national lead poisoning prevention guidelines, standards and abatement activities. No national data exist, however, on the prevalence of lead dust hazards in the nation's housing as measured by household dust and blood samples. NHANES will provide this key data.

This chapter describes the forms and procedures to be used in the dust collection module of the survey.

7.2 Eligibility

Approximately 535 households per year will be eligible for the dust sample. Thus, the number of dust collections per stand will average around 40, although these numbers could vary considerably from stand to stand and from year to year. This means that you will only conduct a few dust collections per stand – thus, it is important that every dust collection be conducted (and conducted correctly).

A household will be eligible for the dust collection if it contains an eligible SP age 1 to 5 years (i.e., 12 months through 71 months). The assessment of eligibility will be based on the SP age reported in the Screener, even though dust collection will be generally conducted during the home visit in which the SP questionnaire for the child is completed. **Only one** SP per household, age 1 to 5, will be randomly selected for the dust sample.

On occasion, age changes will occur that affect this module. Note the following (rare) situations:

- If the age of the SP changes during the age confirmation process conducted in the SP questionnaire and the change makes the **SP ineligible for dust collection** (i.e., child not age 1 to 5) **but is still eligible for the study, dust collection will continue;**
- If, during the same age confirmation process in the SP questionnaire, an age change occurs which makes this person a **non-SP, all data collection – including dust collection – will stop;** and
- Lastly, it is also possible that an **SP deemed ineligible for dust collection** as a result of the age reported in the Screener **turns out to be eligible based on age reported in the SP questionnaire** (i.e., SP is between ages 1 and 5). In such instances, **no dust sample will be collected.**

7.3 When to Collect the Dust Sample

Generally, the dust collection should be conducted immediately following the administration of the interview for the sampled child. At the end of the appropriate child SP questionnaire, CAPI will prompt the interviewer to collect dust samples for this household. The message below will appear:

PERFORM THE DUST MODULE AT THIS TIME?

☐ Yes

☐ No

600-01-0023-01-01 HPO v. 1.6 Continue w/ dust module DustCont

Remarks HELP Turn On Pad

The screenshot shows a CAPI interface with a prompt box titled "PERFORM THE DUST MODULE AT THIS TIME?". Below the prompt are two radio buttons labeled "Yes" and "No". At the bottom of the interface is a navigation bar containing several elements: a small icon, a "Remarks" button, a "HELP" button, a "Turn On Pad" button, a "Continue w/ dust module" button, a "DustCont" button, and two large navigation arrows (back and forward).

Because the dust procedure is very brief, we expect that few respondents will postpone this task. In the rare situations when it cannot be conducted during the interview visit, try to make an appointment to return to the household when you need to complete another survey task.

7.4 Appropriate Respondent

Typically the proxy respondent for the SP questionnaire administered for the sampled child age 1 to 5 should be the dust respondent. However, any adult household member can respond for the dust collection module. The most important consideration is that it should be someone who is knowledgeable about where (in what rooms) the child spends most of his/her awake time.

7.5 Obtaining Consent

7.5.1 Dust Collection Consent Form

Prior to the collection of dust samples, the respondent for this module must read and sign the Dust Collection Consent Form (Exhibit 7-1) and be given a copy of the EPA and HUD Real Estate Notification and Disclosure Rule (Exhibit 7-2).

The consent form addresses several key issues. It:

- Explains the general purpose of dust collection;
- Informs the respondent about the dust collection locations and duration;
- Discusses the risks and benefits; and
- Explains data uses and confidentiality.

Exhibit 7-1. Dust Collection Consent Form

#2

FORM APPROVED: OMB # 0920-0237

NATIONAL HEALTH AND NUTRITION EXAMINATION SURVEY (NHANES) INFORMED CONSENT FOR LEAD DUST STUDY

Print name of respondent _____
First Middle Last

Purpose: The purpose of collecting a dust sample is to find out if there is lead dust in your home. Lead in dust most often comes from peeling or chipping lead-based paint. It can cause health problems especially to young children. Lead-based paint in good condition and left alone usually is not a concern.

Procedure: The interviewer will collect dust samples from the floor and window sill of one room in your house. The procedure will take about 15 minutes. You may agree to the dust collection or not. That is your choice. No penalties or loss of benefits will come from refusing.

Benefits: If one or more of the dust samples are above thresholds published in Federal guidelines, you will receive a report on the findings of the lead dust collection, along with an informational pamphlet about lead in homes. The report and pamphlet will provide information that will help you deal with any lead hazards found in your home.

Risks or discomforts: No risks or discomforts are associated with the dust collection procedure. **If you get the report on lead hazards in your home, Federal law requires you to disclose this information to buyers or renters at the time of purchase or rental, unless your home fits an exemption included in the law.** The exemptions include 1) houses built after 1977; 2) dwellings without bedrooms, such as lofts, efficiencies and studios; 3) short-term leases of 100 days or less, such as vacation homes; 4) housing that has been inspected by a certified inspector and found free of lead-based paint; and 5) housing for the elderly and the disabled, with no children residents. The interviewer will give you a pamphlet describing the disclosure requirements.

Participant Protection: We will use information collected in the survey only for research and statistical reports. NCHS will keep strictly private all health data and samples that we collect in NHANES. Our staff is not allowed to discuss that you are part of this survey under penalty of Federal law: Section 308(d) of the Public Health Service Act (42 USC 242m) and the Privacy Act of 1974 (5 USC 552A).

I have been informed about the purpose and procedure of the lead dust collection, and understand both the risks and benefits. I agree to have dust samples collected in my home.

Signature of respondent Date

I do not want a report of my lead dust results

Signature of interviewer Date

Household/Family ID

Public reporting burden of this collection of information is estimated to average 6.6 hours per response for total participation, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to CDC/ATSDR Reports Clearance Officer, 1800 Clifton Road, MS D-24, Atlanta, GA 30333, ATTN: PRA (0920-0237).

FOR MORE INFORMATION

- For a copy of *Protect Your Family from Lead in Your Home*, the sample disclosure forms, or the rule, call the National Lead Information Clearinghouse (NLIC) at (800) 424-LEAD, or TDD (800) 526-5456 for the hearing impaired. You may also send your request by fax to (202) 659-1192 or by Internet E-mail to ehc@cais.com. Visit the NLIC on the Internet at <http://www.nsc.org/nsc/ehc/ehc.html>.
- Bulk copies of the pamphlet are available from the Government Printing Office (GPO) at (202) 512-1800. Refer to the complete title or GPO stock number 055-000-00507-9. The price is \$26.00 for a pack of 50 copies. Alternatively, persons may reproduce the pamphlet, for use or distribution, if the text and graphics are reproduced in full. Camera-ready copies of the pamphlet are available from the National Lead Information Clearinghouse.
- For specific questions about lead-based paint and lead-based paint hazards, call the National Lead Information Clearinghouse at (800) 424-LEAD, or TDD (800) 526-5456 for the hearing impaired.
- The EPA pamphlet and rule are available electronically and may be accessed through the Internet.
Electronic Access:
Gopher: gopher.epa.gov:70/11/Offices/PestPreventToxic/Toxic/lead_pm
WWW: http://www.epa.gov/docs/lead_pm
<http://www.hud.gov>
Dial up: (919) 558-0335
FTP: [ftp.epa.gov](ftp://ftp.epa.gov) (To login, type "anonymous." Your password is your Internet E-mail address.)

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United States
Environmental Protection
Agency

EPA-747-F-96-001
March 1996

Prevention, Pesticides,
and Toxic Substances
(7404)

EPA and HUD Real Estate Notification and Disclosure Rule



Questions and Answers



U.S. Environmental
Protection Agency



Department of Housing
and Urban Development

The Rule

Q: What is the purpose of this rule and who is affected?

A: To protect the public from exposure to lead from paint, dust, and soil, Congress passed the Residential Lead-Based Paint Hazard Reduction Act of 1992, also known as Title X. Section 1018 of this law directed HUD and EPA to require disclosure of information on lead-based paint and lead-based paint hazards before the sale or lease of most housing built before 1978. The rule would ensure that purchasers and renters of housing built before 1978 receive the information necessary to protect themselves and their families from lead-based paint hazards.

Q: When does the rule take effect?

A: The rule's effective date depends on the number of housing units owned.

- For owners of more than 4 dwelling units, the effective date is September 6, 1996.
- For owners of 4 or fewer dwelling units, the effective date is December 6, 1996.

Affected Housing

Q: What type of housing is affected by this rule?

A: This rule applies to all housing defined as "target housing," which includes most private housing, public housing, housing receiving Federal assistance, and Federally owned housing built before 1978.

Q: What type of housing is not affected by this rule?

A: Housing that is **not** affected by this rule includes:

- "0-bedroom dwellings," such as lofts, efficiencies, and studios.
- Leases of dwelling units of 100 days or fewer, such as vacation homes or short-term rentals.

- Designated housing for the elderly and the handicapped unless children reside or are expected to reside there.
- Rental housing that has been inspected by a certified inspector and is found to be free of lead-based paint.

Q: How does this rule apply to housing common areas such as stairwells, lobbies, and laundry rooms?

A: Common areas are those areas in *multifamily* housing structures that are used or are accessible to all occupants. The rule requires that sellers and lessors disclose available lead information about common areas so that families can be informed about preventive actions.

Q: Why doesn't this rule affect housing built after 1978?

A: Congress did not extend the law to housing built after 1978 because the Consumer Product Safety Commission banned the use of lead-based paint to be used in housing in 1978.

Q: Is my home unsafe if it contains lead-based paint?

A: Approximately three-quarters of the nation's housing built before 1978 contains some lead-based paint. This paint, if properly managed and maintained, poses little risk. If allowed to deteriorate, lead from paint can threaten the health of occupants, especially children under 6 years old. If families and building owners are aware of the presence of lead-based paint and the proper actions to take, most lead-based paint hazards can be managed. The EPA pamphlet *Protect Your Family from Lead in Your Home* provides important information for families and home owners to help them identify when lead-based paint is likely to be a hazard and how to get their home checked.

Seller & Lessor Responsibilities

Q: What if I'm selling target housing?

A: Property owners who sell target housing must:

- Disclose all known lead-based paint and lead-based paint hazards in the housing and any available reports on lead in the housing.
- Give buyers the EPA pamphlet *Protect Your Family from Lead in Your Home*.
- Include certain warning language in the contract as well as signed statements from all parties verifying that all requirements were completed.
- Retain signed acknowledgments for 3 years, as proof of compliance.
- Give buyers a 10-day opportunity to test the housing for lead.

Q: What if I'm renting target housing?

A: Property owners who rent out target housing must:

- Disclose all known lead-based paint and lead-based paint hazards in the home and any available reports on lead in the housing.
- Give renters the EPA pamphlet *Protect Your Family from Lead in Your Home*.
- Include certain warning language in the lease as well as signed statements from all parties verifying that all requirements were completed.
- Retain signed acknowledgments for 3 years, as proof of compliance.

Q: Am I required to give the EPA pamphlet *Protect Your Family from Lead in Your Home* to existing tenants?

A: No, but when tenants *renew* their leases, you must give them the pamphlet and any available reports. In other words, you must give them the same information that you are required to provide new tenants.

Q: What if the buyers/renters don't speak English?

A: In cases where the buyer or renter signed a purchase or lease agreement in a language other than English, the rule requires that the disclosure language

be provided in the alternate language. The EPA pamphlet *Protect Your Family from Lead in Your Home* is printed in English and Spanish and will be made available to the public. EPA and HUD are considering publishing the pamphlet in other languages as well.

Q: Must I check my house for lead prior to sale?

A: No. The rule does not require that a seller conduct or finance an inspection or risk assessment. The seller, however, is required to provide the buyer a 10-day period to test for lead-based paint or lead-based paint hazards.

Q: Is the seller required to remove any lead-based paint that is discovered during an inspection?

A: No. Nothing in the rule requires a building owner to remove lead-based paint or lead-based paint hazards discovered during an inspection or risk assessment. In addition, the rule does not prevent the two parties from negotiating hazard reduction activities as a contingency of the purchase and sale of the housing.

Q: What if I know there is lead-based paint in my home?

A: If you know there is lead-based paint in your home, you are required to disclose this information to the buyer or renter along with any other available reports on lead.

Q: What if the lessor knows that there is no lead-based paint in my rental housing?

A: If your rental housing has been found to be free of lead-based paint by a certified inspector, this rule does not apply. However, landlords seeking an exclusion to this rule must use state certified inspectors. If your state does not have a certification program, you may use a certified inspector from another state. In addition, EPA is developing certification requirements for individuals and firms conducting lead-based paint inspections, risk assessments, and abatements.

Agent Responsibilities

Q: What are my responsibilities as an agent?

A: Agents must ensure that:

- Sellers and landlords are made aware of their obligations under this rule.

Exhibit 7-2. Dust Collection Pamphlet — EPA and HUD Real Estate Notification and Disclosure Rule
(continued)

- Sellers and landlords disclose the proper information to lessors, buyers, and tenants.
- Sellers give purchasers the opportunity to conduct an inspection.
- Lease and sales contracts contain the appropriate notification and disclosure language and proper signatures.

Q: What is the responsibility of an agent if the seller or landlord fails to comply with this rule?

A: The agent is responsible for informing the seller or lessor of his or her obligations under this rule. In addition, the agent is responsible if the seller or lessor fails to comply, however, an agent is not responsible for information withheld by the seller or lessor.

Purchaser & Renter Rights

Q: As a purchaser, am I required to conduct and finance an inspection?

A: No. The rule simply ensure that you have the opportunity to test for lead before purchase.

Q: Can the inspection/risk assessment period be waived?

A: Yes. The inspection or risk assessment period can be lengthened, shortened, or waived by mutual written consent between the purchaser and the seller.

Q: If I am renting, do I have the same opportunity to test for lead?

A: Under the law, the 10-day inspection period is limited to sales transactions, but nothing prevents the renter from negotiating with the lessor to allow time for an inspection before rental.

Q: Where can I find a qualified professional to conduct an inspection?

A: State agencies can provide helpful information for locating qualified professionals in your area. The EPA pamphlet *Protect Your Family from Lead in Your Home* provides the phone numbers of these state agencies. It is important to verify the qualifications of individuals and firms before hiring them.

Q: Must inspectors be certified?

A: Some cities and states have their own rules concerning inspector certification. These requirements, which may be administered at the state or Federal level, may not be in place for several years. Once these requirements are in place, professionals who offer to perform lead-based paint inspections must be certified. The certification requirements that EPA is developing will ensure that inspectors engaged in lead-based paint activities have completed an EPA-certified training program or an EPA-approved state program. Meanwhile, EPA and HUD recommend that people inspect the qualifications and training of individuals and firms before hiring them to conduct risk assessments, inspections, or abatements.

Liability

Q: Does this rule increase my liability for future lead poisoning on my property?

A: In some cases, disclosure may actually reduce the owner's liability since occupants may be able to prevent exposure from the beginning. Under this rule, however, sellers, landlords, or agents who fail to provide the required notices and information are liable for triple the amount of damages.

Q: Are mortgage lenders liable under these rules if the seller or lessor fails to disclose?

A: Under the disclosure regulation, the rule does not identify mortgage lenders as liable parties. This rule does not affect other state and Federal provisions regarding the obligations and responsibilities of lenders.

Q: What if a seller or lessor fails to comply with these regulations?

A: A seller, lessor, or agent who fails to give the proper information can be sued for triple the amount of damages. In addition, they may be subject to civil and criminal penalties. Ensuring that disclosure information is given to home buyers and tenants helps all parties avoid misunderstandings before, during, and after sales and leasing agreements.

The goal of EPA/HUD pamphlet is to inform the public about the Residential Lead-Based Paint Hazard Reduction Act of 1992 by:

- Summarizing the notification and disclosure rule;
- Presenting the responsibility of sellers, lessees, and agents;
- Presenting the rights of purchasers and renters; and
- Documenting the liability issues involved.

To comply with the dust informed consent process, the aforementioned two items should be handed to the respondent at the same time. As you present them, do the following:

- I. CONSENT FORM** – Review the general content of the form by (1) reading the five paragraph topics (in bold) and the second sentence in the “Risks or discomforts” paragraph to the respondent; (2) asking the respondent to read the form; and (3) asking the respondent to complete the bottom portion of the form.

When completing the signature process:

- Print the full name of respondent in the space provided.
- Ask the respondent to sign his/her full name and enter the date.
- Have the respondent check the box if s/he does **not** want a report of the lead test results.
- “Witness (if required)” refers to any witness used during the consent process. For example, if a respondent cannot read, read the consent form to him/her in the presence of a witness. If a respondent cannot read or write, have a witness testify that the respondent has been read the form and consents to participate in this module. In both cases, print the full name of the witness on the appropriate line.
- Sign your name on the line entitled “Signature of interviewer” and enter the date.
- Record the eleven-digit household/family ID number.
- The interviewer should print the full name of the respondent on the last line in case the signature is not legible or complete.

The consent form is printed on three-part paper. The interviewer should keep the top two copies and give the respondent the last page for his/her records.

- II. EPA/HUD REAL ESTATE NOTIFICATION AND DISCLOSURE RULE** (Exhibit 7-2) – Review the general content of the pamphlet by (1) reading the title and the six major headings of the pamphlet to the respondent; and (2) informing the respondent that s/he should read the pamphlet.

PAMPHLETS: Note that there are **two** pamphlets discussed in the consent form. The first pamphlet noted is discussed in the **benefits** paragraph. It is entitled “Protect Your Family from Lead in Your Home.” It is published by EPA and provides important information about lead hazards and documents simple steps families can take to protect themselves. It is sent **only** to respondents who choose to receive the lead dust results **and** are found to have elevated lead dust levels in their homes. (Not everyone gets a lead dust report.) The second pamphlet (Exhibit 7-2) is the EPA/HUD document mentioned in the **risks and discomforts** paragraph discussed above.

7.5.2 Gaining Cooperation and Answering Frequently Asked Questions

To gain cooperation for dust collection, you must be prepared to address the respondent’s concerns effectively. Therefore, be sure to familiarize yourself with the goals of this module (Section 7.1), the procedures in this chapter, the EPA/HUD disclosure pamphlet (Exhibit 7-2), and review the answers provided to some of the most frequently asked dust questions listed below. Since you will not be collecting dust in every home, it is especially important to review this information periodically.

- **Why do you need a dust sample?**

By examining a small amount of dust, researchers can obtain much useful information regarding a child’s lead exposure. Tests for lead will be performed on the dust. This information cannot be obtained in any other way.

- **What exactly will you be testing for in the dust?**

The dust will be tested by a certified laboratory to determine how much lead it contains.

- **Why are you testing the dust for lead?**

Young children can get the dust on their hands and toys, and thus may breathe or eat any lead that may be in the dust. Lead is harmful to young children because their bodies are developing. Lead may damage a child’s brain and nervous system, causing slowed growth, lowered IQ, or behavior problems.

- **Why would there be lead in the dust?**

There are several places lead can come from. The most common source is lead-based paint. Damaged paint can leave lead paint chips in the dust. Lead in house dust may also come from hobbies (such as stained glass or pottery making), or from workplaces (such as auto repair work or house renovation). In addition, lead may be in the soil outside the home – from the years of leaded gasoline use, industrial emissions, or naturally-occurring lead. Soil can be blown or tracked into the home and get into the dust.

■ **How much dust do you need?**

We only need a small amount of dust. I will wipe a small (1 foot by 1 foot) area of the floor and one or two window sills in one room in the home.

■ **Where will you collect the dust samples?**

I will collect the dust samples in the room in which (NAME OF SAMPLED CHILD) spends the most amount of time when not sleeping.

■ **How long will this take?**

About 10 minutes. (The consent form indicates 5 minutes but 10 minutes is more realistic.)

■ **Why do you have to test dust in *this* house?**

The study will collect dust samples in all households where a child age 1 to 5 is selected for the survey. Lead is more harmful to young children in this age range because they are in the development years.

■ **How do I know if my child is affected by (exposed to) lead?**

A simple blood test can detect high levels of lead. We will be doing this test in the mobile examination center. If blood levels are high, we will notify you. Your doctor or health center can also do this test.

■ **Will I receive a report of the results?**

You will receive a written report of the lead levels in the dust only if dust lead levels above Federal guidelines are found in your household, and if you ask for a report.

■ **When will I receive the written report?**

In about 12 to 16 weeks.

■ **Will I receive money for providing the dust samples?**

No – but if the dust lead levels are above Federal guidelines, we will provide information about reducing lead levels and protecting the children in your home.

■ **What will I have to do if you find elevated lead in the dust?**

There are a number of options – depending on where the lead comes from and the condition of the home. We will provide a pamphlet with the report that explains what you can do, and where to get help.

■ **Do I have to disclose the results of the testing?**

If you choose to receive the results of the testing and you own the home, you must share the information with buyers or renters of the home. The pamphlet you received “EPA and HUD Real Estate Notification and Disclosure Rule” explains this in more detail. However, you may choose not to receive the test results and in this situation you will have nothing to provide to future buyers/renters of your home.

■ **What are the benefits of the dust collection to me? Why should I allow you to collect the dust?**

You have a young child in the home – and young children are more susceptible to the effects of lead in dust. If dust lead levels are above Federal guidelines, you will receive a report and brochure that will help you to deal with the lead in your home. If you don’t want the report, we will not send it to you. It will only take about 10 minutes for me to collect the dust.

■ **My house is new – there’s no lead here. Why should I be in the study?**

We are collecting dust in all homes with young children. By testing all homes (both those with and without lead), we can look at the extent of the lead dust problem in the country and figure out how to reduce and eliminate the problem.

Reluctant respondents should be reminded of the importance of these samples to the study. If the respondent does not agree to the dust collection, complete an SP Card (Chapter 10) recording verbatim the respondent’s reasons for refusal.

Whenever you encounter a refusal or other non-response, discuss the situation with your supervisor prior to implementing any followup. As a general rule, you will always return to attempt to collect dust whenever other work in the household is pending, but will only make limited additional visits when other household work is not pending.

7.6 Dust Sample Supplies

Dust sample supplies will be provided to you in kits. Each kit will contain everything you need to complete all the dust collection work in one household. Whenever you are working in the field, you should always have three kits with you. This will ensure that you are fully prepared for any situation encountered on a given day.

Inventory your dust collection supplies on a regular basis so that you always have three complete kits on hand. Remember to pick up additional supplies from your supervisor when you are running low. A list of the supplies you should have to collect dust samples is provided in Exhibit 7-3.

Exhibit 7-3. Dust Sample Supplies

Each dust sample kit will contain:

- 1 kit bag;
- 1 Dust Collection Consent Form;
- 1 EPA/HUD Real Estate Notification and Disclosure Rule pamphlet;
- 1 Lead Dust Sampling Form;
- 1 page of bar code labels with 6 labels (one for the Lead Dust Sampling Form, floor sample, window sill sample, floor replicate, window replicate, and field blank). Each will be tagged with the “type” of sample and a unique dust sample ID number.
- 3 pairs of non-sterilized, non-powdered disposable gloves;
- 1 disposable measuring tape;
- Painter’s tape (used to define window area to be wiped);
- 1 disposable floor template (12” x 12” 3-sided, cardboard form);
- 10 individually-wrapped, disposable wipes;
- 4 dust sample containers (50 ml plastic conical tubes with skirt base and screw cap lids);
- 1 plastic bag for sample storage; and
- 1 plastic bag for trash (do not use pockets or trash containers at residence or original kit bag to dispose of trash).

Interviewers must also remember to always have a watch with them that displays “seconds” (has a second hand).

7.7 Dust Sample Collection Process

Dust samples will be collected following the completion of the SP interview for the child sampled for dust collection. You will begin the dust collection process using the CAPI Dust Collection Module on your pentop. It will prompt you to introduce the dust collection module of the survey, obtain signed consent, select the room to be used for dust collection, determine the type of samples to be collected, and collect the samples.

After completing the first two items in the CAPI Dust Collection Module, you will prepare the dust collection materials, including the Lead Dust Sampling Form (LDSF), and proceed to the room where the dust collection sample is to be obtained. Leave the pentop on and the Dust Collection Module open. After you are through completing the LDSF and collecting the various dust samples, return to the pentop and enter the information that you recorded on the LDSF into the dust module.

With the exception of the first four screens (DCQ.005 through DCQ.020 — which only exist in the module on the pentop), the specifications for the questions in the Dust Collection Module mirror those stated for the dust sample questions on the LDSF.

7.7.1 Beginning the Collection Process with the CAPI Dust Collection Module

The Dust Collection Module may be accessed by single tapping on the “Dust” tab on the Interview Management screen (Exhibit 7-4). Once the list of cases appears (Exhibit 7-5), double tap on the case you wish to work and the consent form verification screen below will appear.

The screenshot shows a mobile application interface. At the top, a text box contains the question: "HAS RESPONDENT SIGNED A DUST COLLECTION CONSENT FORM?". Below this, there are two radio button options: "Yes" and "No". The "No" option is selected. At the bottom of the screen, there is a navigation bar with several elements: a case ID "600-01-0017-01-02", the version "DCQ v. 1.6", the title "Dust Consent", and the screen code "DCQ005". Below these are icons for "Remarks", "HELP", and "Turn On Pad", followed by left and right arrow navigation buttons.

This first screen (DCQ.005) will serve as a reminder for the informed consent process. You must have a signed consent form from the respondent prior to beginning dust collection. If you do not have a signed consent form (DCQ.005 = “NO”), CAPI will prompt you with a message that the respondent must sign a dust collection consent form before the procedure can take place.

Exhibit 7-4. Interview Management Screen

Interview Manager - Stand ID: 600 Emp ID: 1277

File View Tools Help Supervisor

Interviewer Case List

List Displayed: All Cases

Seg	Serial	Family	Person	Quex Disp	Address/Name
01	0009	00	00	Complete (final)	8824 RUSTBURG CR # GAITHERSBURG, 20879
01	0009	01	00	Partially Worked	Kevin Larson
01	0009	01	01	Partially Worked	MELINDA LARSON
01	0009	01	01	Not Worked	MELINDA LARSON
01	0009	01	02	Not Worked	WENDY LARSON
01	0009	01	02	Not Worked	WENDY LARSON
01	0009	01	02	Complete (final)	WENDY LARSON

Screeners Relations Families Persons Appts Dust

Ready

Exhibit 7-5. List of Cases Eligible for Dust Collection

Interview Manager - Stand ID: 600 Emp ID: 1277

File View Tools Help

Interviewer Case List

List Displayed: Dust Cases

Seg	Serial	Family	Person	Quex Disp	Address/Name
01	0006	01	04	Not Worked	MELANIE DRAKE
01	0017	01	02	Not Worked	GREGG SPENCER
01	0018	01	03	Not Worked	KYLE SAUNDERS

Count: 3

Screeners Relations Families Persons Appts Dust

Ready

RECORD INFORMATION BELOW ON LDSF AND PLACE DUST ID LABEL ON FORM. PRESS ENTER TO CONTINUE.

SAMPLED SP NAME:

PARTICIPANT ID:

600-01-0017-01-02 DCQ v. 1.6 HH Eligible Intra Screen DCQ010

The name of the child sampled for dust collection as well as his/her Participant ID will then be displayed on screen DCQ.010. Enter the SP name and Participant ID from this screen on the hardcopy LDSF (Exhibit 7-6) and place the dust ID label on the LDSF. Both the form and the label are in the Dust Supply Kit.

In which room would you say Gregg Spencer spends most of his time while awake?
 PROBE: Please give me your best guess for the room he spends most of his time in when he is not sleeping.

LIVING ROOM/FAMILY ROOM/DEN

 DINING ROOM

 KITCHEN

 BEDROOM

 ANOTHER ROOM (SPECIFY)

600-

The question above (DCQ.015) is used to determine the room in which you will collect the dust sample. Probe for the respondent's best guess if the response is a "don't know". If the respondent identifies several rooms and will not make a "best guess", code the room the respondent states first. You may only select one room code.

Exhibit 7-6. Lead Dust Sampling Form

LEAD DUST SAMPLING FORM

<p>DUST ID LABEL</p>

CHILD SP NAME: _____
 PARTICIPANT ID _____
 DATE: ____/____/____-____/____/____
 INT NAME: _____

CHECK ALL SAMPLES REQUIRED	CHECK STATUS OF SAMPLES		SPECIFY IF SAMPLE NOT OBTAINED
<input type="checkbox"/> FLOOR DUST SAMPLE	<input type="checkbox"/> SAMPLE OBTAINED	<input type="checkbox"/> SAMPLE NOT OBTAINED	
<input type="checkbox"/> FLOOR DUST REPLICATE	<input type="checkbox"/> SAMPLE OBTAINED	<input type="checkbox"/> SAMPLE NOT OBTAINED	
<input type="checkbox"/> WINDOW SILL DUST SAMPLE	<input type="checkbox"/> SAMPLE OBTAINED	<input type="checkbox"/> SAMPLE NOT OBTAINED	
<input type="checkbox"/> WINDOW SILL DUST REPLICATE	<input type="checkbox"/> SAMPLE OBTAINED	<input type="checkbox"/> SAMPLE NOT OBTAINED	
<input type="checkbox"/> FIELD BLANK	<input type="checkbox"/> SAMPLE OBTAINED	<input type="checkbox"/> SAMPLE NOT OBTAINED	

1. ENTER LOCATION OF SAMPLE (CIRCLE ONE):

SAMPLED ROOM FROM DUST COLLECTION MODULE
 (SPECIFY) 0

OTHER ROOM

LIVING ROOM/FAMILY ROOM/DEN 1
 DINING ROOM 2
 KITCHEN 3
 BEDROOM 4
 ANOTHER ROOM (SPECIFY) 5

2. FLOOR DUST SAMPLE

SAMPLE	REPLICATE																																							
<p>ROOM CARPET CODE (CIRCLE ALL THAT APPLY):</p> <table> <tr> <td></td> <td style="text-align: center;">Yes</td> <td style="text-align: center;">No</td> </tr> <tr> <td>NO CARPET</td> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> </tr> <tr> <td>MAT (2' BY 3' OR LESS)</td> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> </tr> <tr> <td>AREA RUG</td> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> </tr> <tr> <td>WALL TO WALL CARPET</td> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> </tr> </table> <p>SAMPLE SURFACE CONDITION:</p> <table> <tr> <td>SMOOTH AND CLEANABLE</td> <td style="text-align: center;">1</td> </tr> <tr> <td>NOT SMOOTH AND CLEANABLE</td> <td style="text-align: center;">2</td> </tr> <tr> <td>CARPETED</td> <td style="text-align: center;">3</td> </tr> </table> <p>CARPET PILE DEPTH:</p> <table> <tr> <td>LOW PILE (less than or equal to ½ inch)</td> <td style="text-align: center;">1</td> </tr> <tr> <td>HIGH PILE (more than ½ inch)</td> <td style="text-align: center;">2</td> </tr> <tr> <td>NOT APPLICABLE</td> <td style="text-align: center;">3</td> </tr> </table>		Yes	No	NO CARPET	1	2	MAT (2' BY 3' OR LESS)	1	2	AREA RUG	1	2	WALL TO WALL CARPET	1	2	SMOOTH AND CLEANABLE	1	NOT SMOOTH AND CLEANABLE	2	CARPETED	3	LOW PILE (less than or equal to ½ inch)	1	HIGH PILE (more than ½ inch)	2	NOT APPLICABLE	3	<p>SAMPLE SURFACE CONDITION:</p> <table> <tr> <td>SMOOTH AND CLEANABLE</td> <td style="text-align: center;">1</td> </tr> <tr> <td>NOT SMOOTH AND CLEANABLE</td> <td style="text-align: center;">2</td> </tr> <tr> <td>CARPETED</td> <td style="text-align: center;">3</td> </tr> </table> <p>CARPET PILE DEPTH:</p> <table> <tr> <td>LOW PILE</td> <td style="text-align: center;">1</td> </tr> <tr> <td>HIGH PILE</td> <td style="text-align: center;">2</td> </tr> <tr> <td>NOT APPLICABLE</td> <td style="text-align: center;">3</td> </tr> </table>	SMOOTH AND CLEANABLE	1	NOT SMOOTH AND CLEANABLE	2	CARPETED	3	LOW PILE	1	HIGH PILE	2	NOT APPLICABLE	3
	Yes	No																																						
NO CARPET	1	2																																						
MAT (2' BY 3' OR LESS)	1	2																																						
AREA RUG	1	2																																						
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CARPETED	3																																							
LOW PILE	1																																							
HIGH PILE	2																																							
NOT APPLICABLE	3																																							

Exhibit 7-6. Lead Dust Sampling Form (continued)

3. WINDOW SILL DUST SAMPLE

SAMPLE	REPLICATE
SELECT RANDOM WINDOW. RECORD INFORMATION: WINDOW SILL FINISH: FINISHED 1 NOT FINISHED 2 SAMPLE SURFACE CONDITION: SMOOTH AND CLEANABLE 1 NOT SMOOTH AND CLEANABLE 2 SURFACE AREA WIPED: _____ - ____/8 INCHES X _____ - ____/8 INCHES LENGTH WIDTH	SELECT RANDOM WINDOW. RECORD INFORMATION: WINDOW SILL FINISH: FINISHED 1 NOT FINISHED 2 SAMPLE SURFACE CONDITION: SMOOTH AND CLEANABLE 1 NOT SMOOTH AND CLEANABLE 2 SURFACE AREA WIPED: _____ - ____/8 INCHES X _____ - ____/8 INCHES LENGTH WIDTH

4. OTHER DATA REQUIRED

ROOM CLEANLINESS

DIRTIER THAN AVERAGE	1
AVERAGE.....	2
CLEANER THAN AVERAGE.....	3

ROOM CLUTTER

VERY CLUTTERED, NOTHING IN PLACE.....	1
AVERAGE AMOUNT OF CLUTTER.....	2
ORGANIZED, NOTHING OUT OF PLACE	3

INTERVIEWER: COLLECT THE REQUIRED SAMPLES AND THEN ENTER ALL DATA INTO CAPI.

Definitions for room codes are as follows:

- **LIVING ROOM/FAMILY ROOM/DEN** – This is any common living area in the home. This room type may have a variety of names, including living room, family room, den, parlor, great room, recreational room, Florida room, bonus room, kitchen/family room combination, etc.
- **DINING ROOM** – This is the room designed for people to eat their meals. If they eat in the kitchen and this is where the child spends the most time awake, select “KITCHEN.” If they eat in the living room, select “LIVING ROOM.”
- **KITCHEN** – This is the room in which people cook their meals. They may also eat their meals in the kitchen.
- **BEDROOM** – A bedroom is the room in which any person(s) sleeps (i.e. there is usually a bed present in the room) on most nights. NOTE: Rooms that were designed as bedrooms when constructed, but are now being used for another purpose, e.g., as a guestroom, office, playroom, sewing room or storage room, are **not** included as bedrooms. Treat these rooms as the room type for which they are being used.

Please note that the definition for bedroom does not necessarily apply to the child’s bedroom. This can be the parent’s bedroom, the guest bedroom, a sibling’s bedroom, etc.

- **ANOTHER ROOM** – If you select “ANOTHER ROOM,” you will be prompted to specify the type of room. Code this room when the place selected is any room not listed above. This may include playroom, office, study, guestroom, library, laundry, sewing room, workshop, bathroom, etc. Do not record basement, upstairs, loft or attic (these are levels) – instead record the room type based on its use, e.g. laundry, workshop, etc.

THE FOLLOWING SAMPLES ARE REQUIRED: Floor, Sill, Replicate Sill & Field Blank .
SAMPLE ROOM: LIVING ROOM/FAMILY ROOM/DEN.
INTERVIEWER: LABEL TUBES. CHECK SAMPLES ON LDSF. COLLECT DUST SAMPLE AND COMPLETE LDSF.

600-01-0017-01-02 DCQ v. 1.6 Tasks Requires DCQ020

Remarks HELP Turn On Pad [Left Arrow] [Right Arrow]

This screen (DCQ.020) presents the room selected at DCQ.015 and indicates which samples you **must** collect in the selected room. You will always be prompted to collect at least two samples in every household – a floor and a window sill dust sample. Quality control samples (floor dust replicate,

window sill dust replicate, and field blank) will only be collected in some households. The types of samples to be collected include:

- **Floor dust sample** – This is a 12-inch by 12-inch wipe sample collected in the center of the largest open area of the floor space in the sampled room. An “**open area**” is defined as one in which no furniture is sitting and in which a person can walk. Narrow spaces between pieces of furniture and behind doors do not constitute an open area or part of an open area.

The floor dust sample is collected in the sampled room in every eligible home.

- **Floor dust replicate** – This is a 12-inch by 12-inch wipe sample collected in the center of the *second* largest open area of the floor space in the sampled room. If there isn’t a second open area, the replicate will be collected from a different area in the largest open area, but **not immediately adjacent to the original sample**.

The purpose of the floor dust replicate sample is to determine the variation in lead content of floor dust across the room. This sample will be collected in approximately 10 percent of the homes in which dust collection is conducted.

- **Window sill dust sample** – This is a wipe sample collected on a window sill in the sampled room. A **window sill** is the horizontal ledge protruding from the window into the sampled room. The window sill dust sample will be taken from a random window selected by the interviewer following the protocol described in Exhibit 7-7.

The window sill sample will be collected in the sampled room in every eligible home (if a window sill is present in the sampled room).

- **Window sill dust replicate** – Window sill dust replicates will be collected from a different window in the sampled room (following the random window selection protocol). If there is not another accessible window in the room, then no sill replicate will be collected in that home.

The purpose of the window sill dust replicate sample is to determine the variation in lead content of dust between window sills in the same room. This sample will be collected in approximately 10 percent of the homes in which dust collection is conducted.

- **Field blank** – This is a sample that is treated just like a wipe sample, but no surface is wiped. The field blank sample is used to determine whether contamination of the samples has occurred due to normal sample handling procedures. This sample will be collected in approximately 10 percent of the homes in which dust collection is conducted.

The instruction at the bottom of the CAPI screen prompts the interviewer to label the tubes, enter the screen information on the LDSF, i.e. to check off which samples are required in the household, and to proceed with dust collection.

Exhibit 7-7. Random Wall/Window Selection Protocol

Selection of the random wall (and random window) for window sill sample.

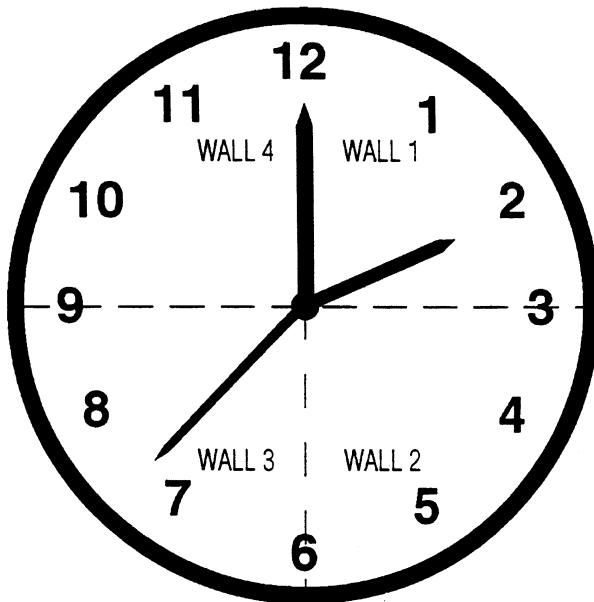
Note: When a large window area is composed of multiple individual windows, count each individual window as a distinct window. In the discussion below, sliding glass doors are not counted as windows.

- A. If there is only one window in the room, select that window for dust sampling.
- B. If there is more than one window in the room, you must select a window at random using a three step process: 1) select a random wall (C and D); then 2) select a random window (E); and finally 3) check that the window is openable (F).
- C. If there is only one wall with windows in the room, select that wall. Move to E below to select a random window.
- D. If there are windows on more than two walls, you must first select a random wall.
 - 1. Look into the room from the entry you walked into.
 - 2. The wall to your left is Wall 1. Wall 2 is the next wall in a clockwise direction, and so on around the room. Assign wall numbers to only four walls, even in odd shaped rooms.
 - 3. Look at the second hand on your watch (see Exhibit 7-8):
 - If the second hand is 1-15, select Wall 1.
 - If the second hand is 16-30, select Wall 2.
 - If the second hand is 31-45, select Wall 3.
 - If the second hand is 46-00, select Wall 4.
 - 4. If there is no window on the selected wall, move clockwise around the room until you reach a wall with a window. Select that wall.
- E. If there is more than one window on the selected wall, select a random window as follows:
 - 1. Stand facing the wall.
 - 2. The window to your left is Window 1, Window 2 is the next window to the right, etc.
 - 3. Look at the second hand on your watch (see Exhibit 7-9):
 - If the second hand is 1-15, select Window 1.
 - If the second hand is 16-30, select Window 2.
 - If the second hand is 31-45, select Window 3.
 - If the second hand is 46-00, select Window 4.
- F. Once you have selected the random window, check to see if it is openable. If not, proceed clockwise around the room until you either: }
 - 1. Find an openable window – sample that window.
 - 2. Find no openable window – sample the initial selected random window.

Exhibit 7-8. Random Window Selection-Step 1: Random Wall Selection

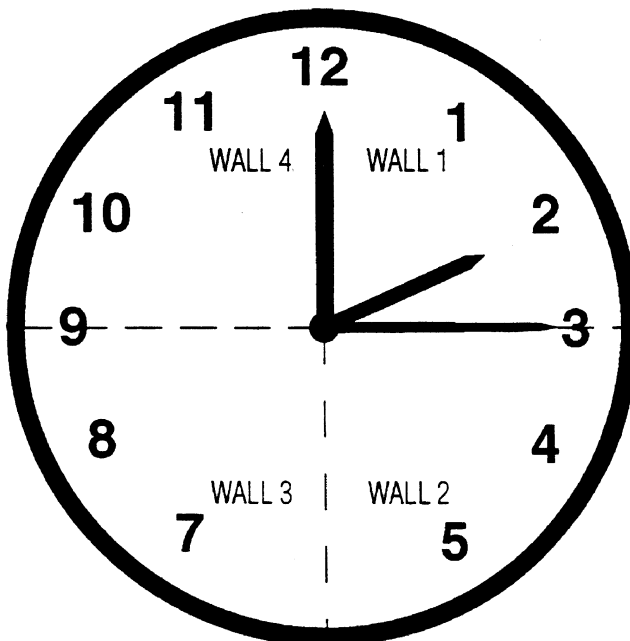
Stand in entry doorway. Look at watch second hand.

EXAMPLE 1



Second hand = 37 seconds
Select Wall 3
(Wall to right of entry)

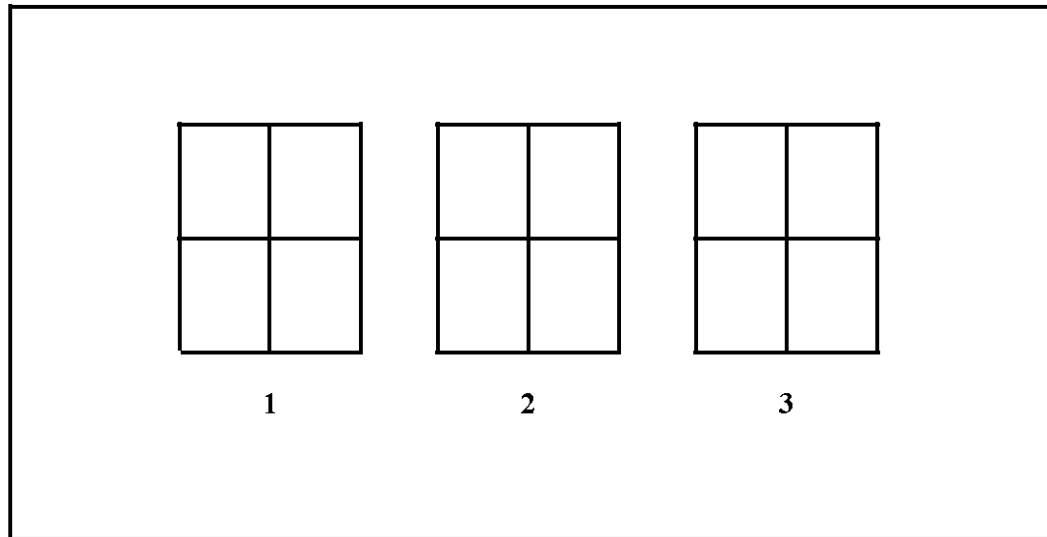
EXAMPLE 2



Second hand = 15 seconds
Select Wall 1
(Wall to left of entry)

Exhibit 7-9. Random Window Selection – Step 2: Random Window Selection

Selected Wall



Examples

If second hand = 12, select Window 1*.

If second hand = 23, select Window 2.

If second hand = 37, select Window 3.

If second hand = 52, select Window 1.

*If Window 1 is not openable, try Window 2, etc. (moving clockwise around the room). If no window is openable, go back to the originally selected window (in this example, Window 1).

7.7.2 Completing the Remainder of the Lead Dust Sampling Form (LDSF)

Preliminary Data

You are now ready to complete all the remaining items on the LDSF and collect the samples. [You have already recorded the sampled SP name and Participant ID (DCQ.010), placed the ID label on the form (DCQ.010), and checked the room samples to be collected (DCQ.020 on the LDSF)]. Now you should:

- Record the date and your name in the top right corner of the LDSF;
- Make sure that you have checked all the samples required as noted on screen DCQ.020. Remember that you will never have to collect all the dust samples; and
- Place the Dust ID Labels from the Dust Supply Kit on the empty sample tubes in the kit – for the required samples only. There are labels for each possible type of sample – if the sample is not required in the household, leave the label on the label sheet.

Item 1: Go to the room where the samples will actually be obtained and circle the location code on the form. In most cases, this is the room identified at DCQ.015. However, if the sampled room is inaccessible (e.g., someone is asleep in room), select another room. The alternative (second best) room should be the room where the child spends the second most amount of the time, while not sleeping. Probe for this when necessary by asking the respondent, “In which room does the child spend the second (third or fourth) most time, when not sleeping?” If ANOTHER ROOM is coded, specify the room type (e.g. playroom, office, laundry, etc.)

PENTOP CARE: Leave the pentop on and open – if it safe to do so. If there are children or pets that might interfere with the pentop while you are collecting the dust samples, unplug the pentop (do not turn it off) and carry it into the sampled room with you. Make sure you have fully charged the pentop before unplugging it.

Item 2: After you select the floor area for wiping (the largest open area, per section 7.7.1 above) and collect the floor sample(s) (per section 7.7.3 below), code the appropriate information about the floor dust sample and replicate floor dust sample (if necessary). This information comes from observation – not from asking the respondent.

- **Room Carpet Code:** Check the carpet code(s) that best describe the floor covering in the entire room. Note that you are asked to code all that apply. Thus, if there is a large Oriental rug over wall-to-wall carpeting, code 'Y' for both AREA RUG and WALL TO WALL. However, if you code 'Y' for NO CARPET, this means there is no carpeting anywhere in the room, and thus all other items must be coded NO.
- **Sample Surface Condition:** Circle the one sample surface condition that best describes the surface from which the lead dust sample has been collected. The choices are:
 - **Smooth and Cleanable** – These are smooth floor surfaces on which wiping can easily pick up dirt and dust. Examples include floor tile or linoleum in good condition, smooth or painted concrete or wood, or finished wood floors.
 - **Not Smooth and Cleanable** – These are rough or porous floor surfaces on which wiping cannot easily pick up dirt and dust. Examples include significantly scuffed or damaged floor tile or linoleum, rough or unpainted concrete or wood, or unfinished wood or brick floors. This does not include carpeted surfaces.
 - **Carpeted** – If a carpeted surface is wiped, code CARPETED '3'.
- **Carpet Pile Depth:** If the dust sample is collected from a carpeted surface, visually estimate the length of a typical carpet fiber. Circle Low Pile '1' if the fiber is less than or equal to 1/2 inch. If the fiber is longer than 1/2 inch, circle High Pile '2'. If the sample surface is not carpeted, circle Not Applicable '3'.
- **Replicate Floor Dust** – You do **not** have to record the Room Carpet Code for the replicate floor dust sample (it is the same as for the floor sample). However, you must record the Sample Surface Condition and Carpet Pile Depth for the replicate floor dust sample – these may be different than the floor dust sample.

Item 3: If the sampled room has more than one window, you will need to select a random window. Exhibit 7-7 provides the protocol for this selection process. After you have wiped the selected window sill, code the appropriate information about the window sill dust sample and replicate window sill sample (if necessary). This information comes from your observation – not from asking the respondent.

- **Window Sill Finish:** Circle '1' if the window sill is finished (painted, shellacked, varnished, polyurethaned, etc). Circle '2' if the window sill is not finished (e.g., bare metal, wood, or vinyl).
- **Sample Surface Condition:** Circle the sample surface condition that best describes the surface from which the lead dust sample is being collected.
 - **Smooth and Cleanable** – These are smooth surfaces on which wiping can easily pick up dirt and dust. Examples include smooth or intact painted or finished wood, vinyl, or metal.

- **Not Smooth and Cleanable** – These are rough or porous surfaces on which wiping cannot easily pick up dirt and dust. Examples include damaged painted wood or metal, porous concrete, or unfinished rough wood.
- **Surface Area Wiped:** Record the length and width of the window sill surface wiped, in inches to the nearest 1/8 inch.

Item 4: Record other data about the room. This information comes from your observation – not from asking the respondent. Be especially careful in assigning the Room Cleanliness and Room Clutter codes. Guard against merely assigning ‘average’ levels of cleanliness and clutter. Use the descriptions below to make the assignments. Also, these assignments could offend some householders, so be discreet in recording these codes.

Room Cleanliness:

- **Dirtier than average** – Little to no evidence of housecleaning. Moderate to heavy dust build-up in corners and on furniture. Matted or soiled carpeting. Debris and food particles scattered about. Cobwebs visible without looking behind furniture or doors. Heavily soiled floor and door jambs.
- **Average** – Some evidence of housecleaning. Moderate dust build-up in corners and on furniture. Slightly matted or soiled carpeting. Some debris and food particles scattered about. Some visible cobwebs. Slightly soiled floor and door jambs.
- **Cleaner than average** – No visible dust build-up in corners and on furniture. Evidence of recent vacuuming on carpet. Small or no areas of matted or soiled carpeting. No debris or food particles scattered about. No visible cobwebs. Clean floor and door jambs.

Room Clutter:

- **Very cluttered** – Nothing in place. Lots of stuff (dirty dishes, newspaper, clothing, etc.) lying about.
- **Average amount of clutter** – Some newspapers or clothing lying about. A few dirty dishes in the sink or on the counter.
- **Organized** – Nothing out of place. No more than 1-2 dishes in the sink.

If sample not obtained – If any of the required samples are not obtained, go back to the top of the LDSF and record the reason in the space beside the sample that was not obtained.

INTERVIEWER: COLLECT THE REQUIRED SAMPLES AND THEN ENTER ALL DATA INTO CAPI — After you have collected all the samples and completed this form, enter all the necessary information into CAPI prior to leaving the household.

7.7.3 Obtaining the Dust Samples (Wipe Method)

The NHANES dust sampling procedures and materials are unlikely to harm a respondent's home. However, you will need to exercise some care when moving through the respondent's home and collecting these samples. A few **general considerations** are:

- As you move around, be careful not to knock anything over;
- When collecting window sill samples, ask for the respondent's permission to move items carefully off the sill or from in front of the window before beginning the dust sampling;
- When collecting window sill samples, do not place the tape so securely as to remove paint when pulling the tape off; and
- The wipes contain alcohol that will not hurt most fabrics or surfaces. If a rug in the wipe area looks expensive or fragile, ask the respondent if alcohol is acceptable for the surface. If not, select another room for sampling by asking "which room does the child spend the second, third, etc. most awake time in?"

Now let's review the **specific steps** in the dust collection process (wipe method). Undertake the steps in the order presented.

1. Prepare a clean area for sampling supplies.

You should generally be able to work from your Dust Supply Kit, but may work from a counter or table, if permitted by the respondent. Be careful not to scratch or damage surfaces.

2. Prepare to collect the samples required in the following order (mandatory):

- | |
|---|
| <ol style="list-style-type: none">(1) Floor wipe;(2) Floor replicate wipe (if required);(3) Window sill wipe;(4) Window sill replicate (if required); and(5) Field blank. |
|---|

3. Outline the wipe area.

Floors:

Identify the center of the largest open area in the room (or second largest open area for floor replicate). (See Exhibit 7-10 for example of location of floor sample and floor replicate area.) Try not to walk on or touch the surface to be sampled (the wipe area). Do not lay the template over two surface types (e.g. do not include both carpet plus smooth surface within the template wipe area).

Position the one square foot template over the wipe area. When putting down the template, do not touch the interior wipe area.

Tape the template in place with the painter's tape across the entire open side. Use two short pieces of tape to position the remaining two corners.

Window sills: Randomly select the window to be wiped in accordance with the protocol in Exhibit 7-7. Do not touch the window sill area. Remove any objects that are on the sill wipe area (wipe area described below), or items that will interfere with sampling. Objects may include vases, toys, a lamp, etc.

Carefully apply two strips of adhesive tape across the ends of the sill (see Exhibit 7-11) to define a wipe area (be careful not to touch the sill when applying the tape). In general, you will sample the entire width and length of the window sill. For odd sized window sills (i.e. very narrow or very wide), the wipe area should be between 0.1 square foot and 2 square feet in size, if possible, but never longer than 36 inches (the length of the tape measure). Below please find guidelines for acceptable wipe area sizes:

Width of Sill	Length of Wipe Area
1 to 2 inches	15 to 36 inches
3 to 4 inches	10 to 36 inches
5 to 6 inches	10 to 25 inches
8 to 10 inches	5 to 20 inches

4. Put gloves on.

Put a clean pair of disposable gloves on **before each type of sample collection (i.e., floor, window, field blank) and before opening the first wipe** to be used for each type of collection. Thus, you can use the same pair of gloves for the actual floor sample and the floor replicate when required. It is not necessary to wipe your hands before putting the gloves on.

Exhibit 7-10. Location of Floor Wipe Sample and Replicate

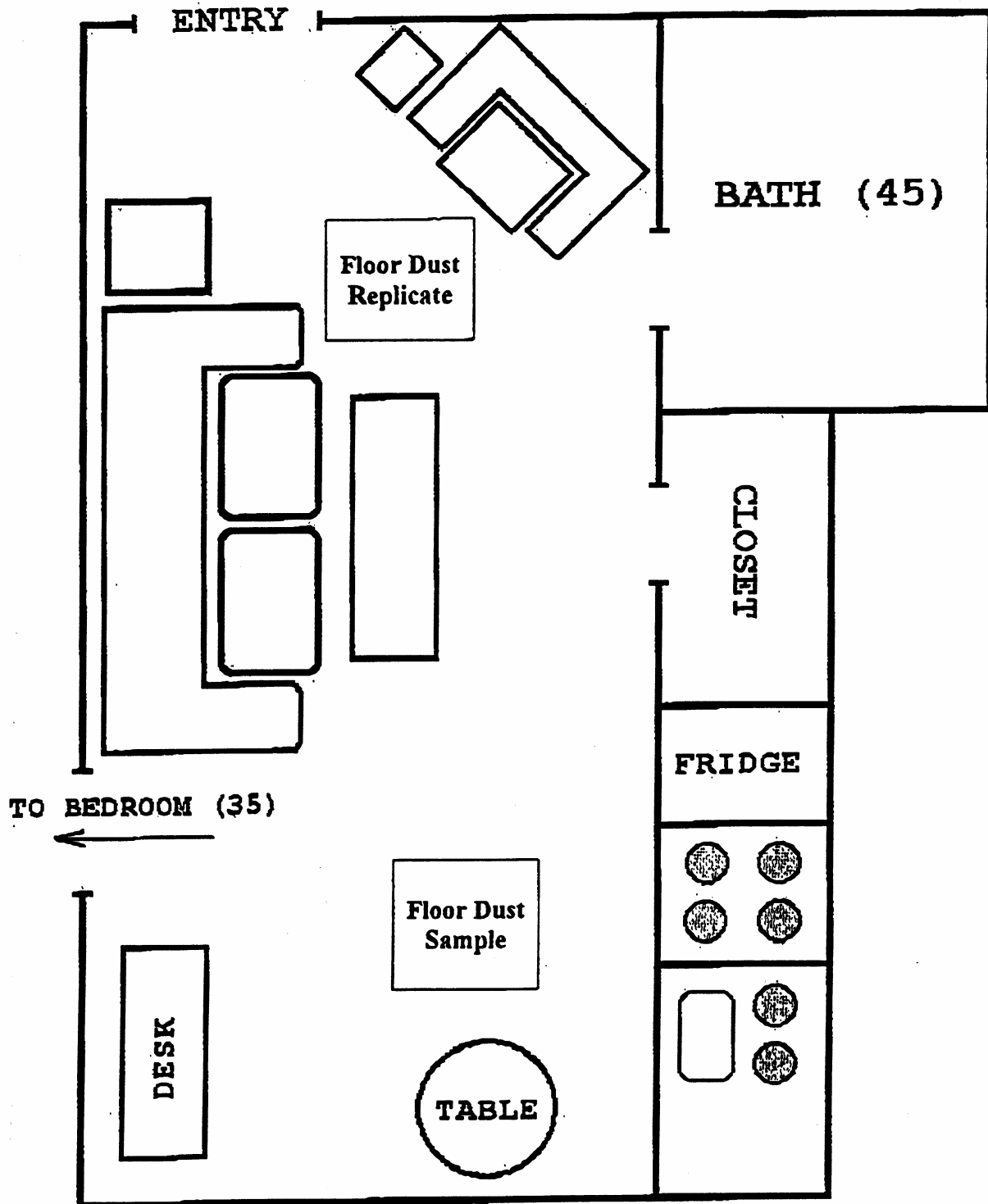
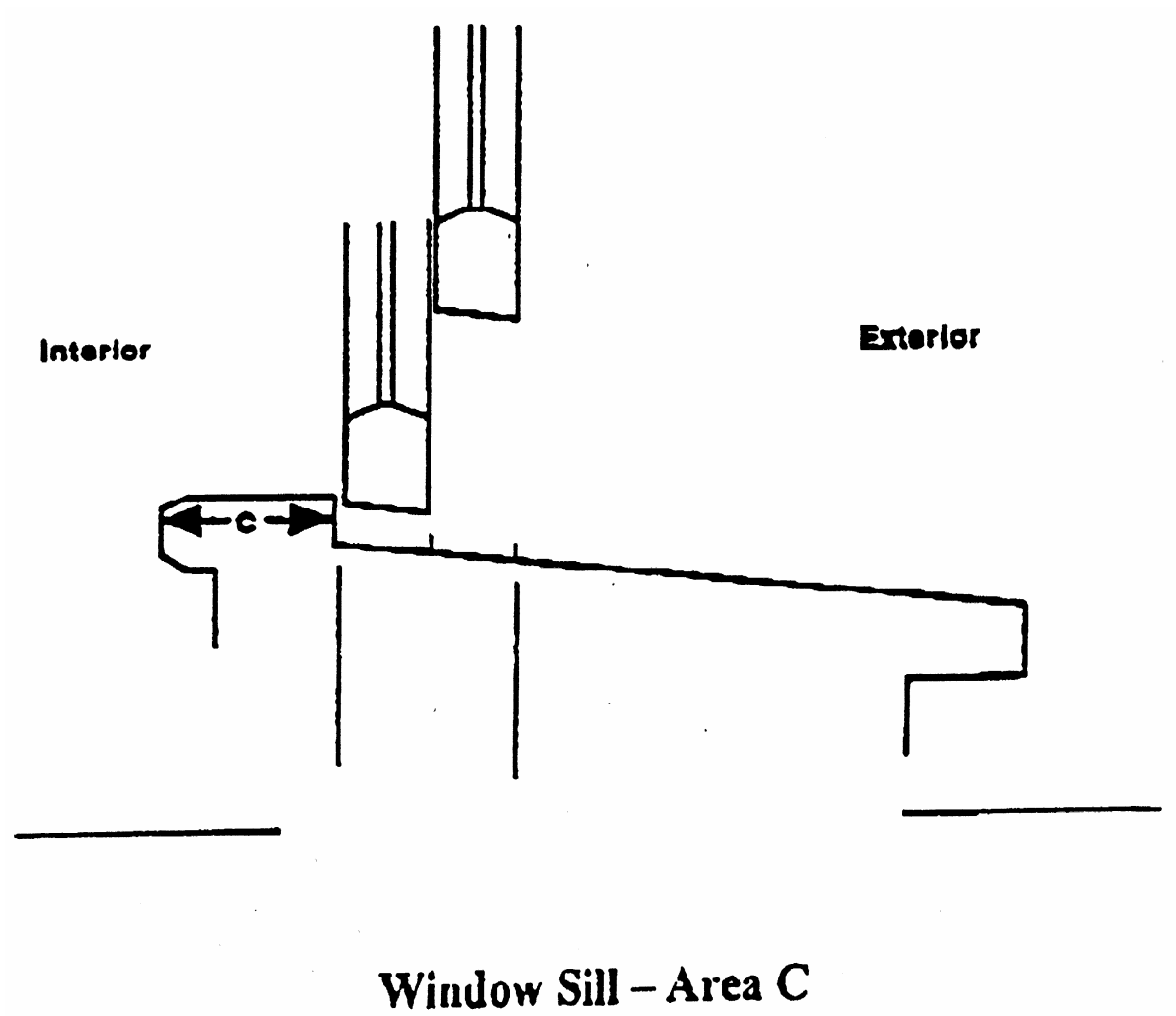


Exhibit 7-11. Window Sill Sample Location



5. Do a preliminary inspection of the disposable wipes.

As you get ready to use each wipe, open it and inspect it to determine if it is moist. If it is dried out, throw it away and use another wipe.

6. Partially unscrew the sample containers.

Partially unscrew the cap on the correct, labeled sample container prior to use to be sure that it can be easily opened. When you collect the sample, always transfer the wipe directly into the sample container – do not use baggies or other containers as intermediate wipe receptacles.

7. Place the initial wipe.

Place the wipe at one corner of the surface to be wiped with wipe fully opened (one fold may still be in place) and flat on the surface. The wiping motion for the floor sample is shown in Exhibit 7-12 and explained below in Steps 8, 9, and 10.

8. Do the first wipe pass.

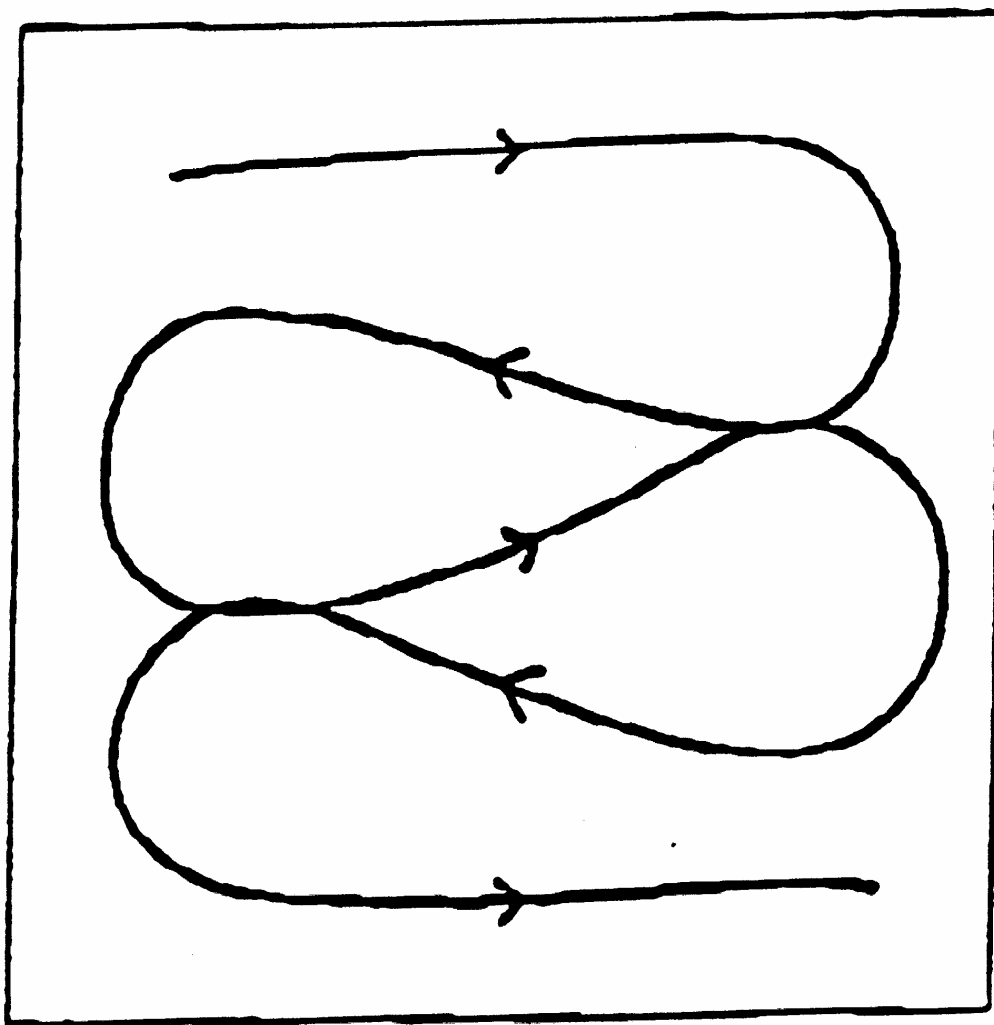
With the fingers together, place your hand over the fully open wipe. Press down firmly, but not excessively with both the palm and fingers (do not use the heel of the hand). Do not use only the fingertips to hold down the wipe, because there will not be complete contact with the surface and some dust may be missed. Note: Exerting excessive pressure on the wipe will cause the wipe to curl. Exerting too little pressure will result in poor collection of dust. It will work best if you also hold the appropriate corner at the leading edge of the wipe with the opposite hand and pull gently in the direction you are wiping (this is especially helpful for carpeted and rough surfaces).

As you wipe, do not touch the wipe area surface with the thumb. Likewise, do not allow the wipe to touch any surfaces outside of the defined wipe area.

Floor (side-to-side): Proceed to wipe side-to-side with as many “S”-like motions as are necessary to completely cover the entire wipe area. Keep your open hand flat the entire time. Do not intentionally push fingertips into openings in the surface (e.g., between tiles or floor boards), but if the hand dips into the opening following the procedures described above, that is acceptable.

Window Sill (straight across sill): Proceed to wipe straight across the window sill from one side to the other. Do not attempt to wipe the irregular edges presented by the contour of the window. Avoid touching other portions of the window with the wipe. If there are paint chips or gross debris in the window sill wipe area, attempt to include as much of it as possible – but only by using the technique described.

Exhibit 7-12. First Wipe Pass for the Floor Sample



Note – Only the center of wipe path is shown, not the entire wiping width. The second wipe pass is an up-and-down overlapping “S” pattern – the same wipe path as above turned 90°.

9. Do the second wipe pass.

Fold the wipe in half with the contaminated side facing inward. (The wipe can be straightened out by laying it on the wipe area, contaminated side up, and folding it over.) Once folded, place in the top corner of the wipe area and press down firmly with the palm and fingers.

Floor (side-to-side in opposite direction): Repeat wiping the area with “S”-like motions, but on the second pass, move in a top-to-bottom direction (i.e., perpendicular, or 90 degrees, to the direction wiped on the first pass).

Window Sill (straight across in opposite direction): Proceed to wipe straight across the window sill from one side to the other – in the direction opposite from that used for the first wipe pass. Attempt to remove all visible dust. Do not touch the contaminated portion of the wipe with either hand or fingers. Do not shake the wipe in an attempt to straighten it out, since dust may be lost during shaking.

10. Do the third wipe pass.

Fold the wipe in half with the contaminated side facing inward (one-fourth of the total wipe).

Floor (perimeter): Wipe around the perimeter attempting to pick up any dust pushed into the edges during the first and second passes.

Window Sill (straight pass with emphasis in corners): Proceed to wipe straight across the window sill from one side to the other – in the same direction as used for the first wipe pass.

11. Pack the wipe(s).

After wiping, fold the wipe with the contaminated side facing inward two times (total of five folds), and insert it into the sample tube with the proper label. If gross debris is present, such as paint chips from the window sill, be careful that the debris does not fall out of the wipe while folding. Place the sample tube into the sample storage bag in the kit.

12. Measure the window sill area.

After collecting the window sill sample, measure the length and width of the surface area wiped to the nearest eighth of an inch using the tape measure. Measure the length along the outer edge (facing into room) of the sill. Record the exact dimensions for each area wiped on the LDSF in the nearest eighth of an inch.

Practice measuring to nearest 1/8th inch. Remember that:

$$\frac{1}{4} \text{ inch} = \frac{2}{8} \text{ inch}$$

$$\frac{1}{2} \text{ inch} = \frac{4}{8} \text{ inch}$$

$$\frac{3}{4} \text{ inch} = \frac{6}{8} \text{ inch}$$

13. Prepare the field blank (if required).

If required, prepare a field blank while still in the sampled room. The field blank is collected the same as the other wipes, but no surface is wiped. Thus, follow steps 4 (put on gloves), 5 (inspect the wipe) and 6 (unscrew the sample tube) above. Then instead of wiping a surface (steps 7-10), simply refold the wipe, and place it in the sample tube labeled for the field blank (step 11).

14. Decontaminate yourself.

After each sampling, remove the gloves and put them in the trash bag provided in your kit. At the end of the complete dust collection process, use a clean wet wipe to clean your hands. During sampling, do not eat, drink, smoke, or otherwise cause hand to mouth contact.

15. Collect the trash.

After sampling, remove the painter's tape and template and throw them away in the kit trash bag. After all window sill sampling is complete, the used measuring tape also goes into the trash bag. Keep the trash bag separate from the Dust Collection Kit, i.e. do NOT place the trash bag into the Dust Collection Kit after sampling is completed. Also, do NOT throw away used gloves, wipes, template, tape or the trash bag inside the home.

16. Pack supplies.

Leave unused supplies in the original kit. Place the bag of collected samples in the original kit. Return all items to the FO.

17. Replace any moved household items.

If you have moved any household items in order to sample (e.g. away from or off the window sill), relocate those items in their original position.

7.7.4 Ending the Dust Collection Process with CAPI

After dust collection is complete, the interviewer will return to the pentop and enter the information from the LDSF into the CAPI Dust Module. Below you will find the screen specifications for DCQ.025 to DCQ.420 in numerical order. As always, CAPI will move you through the appropriate screen sequence depending on the samples required for the household and the responses entered.

ENTER DUST COLLECTION RESULTS IN CAPI.
WAS LOCATION OF SAMPLE IN LIVING
ROOM/FAMILY ROOM/DEN ?

☐ YES
☐ NO
☐ ABLE TO COMPLETE NEITHER FLOOR NOR WINDOW SAMPLE

600-01-0017-01-02 DCQ v. 1.6 *Actual Room Short* *DCQ0025*

ENTER LOCATION OF SAMPLE:

9
 DINING ROOM
 KITCHEN
 BEDROOM
 ANOTHER ROOM (SPECIFY)

600-

WHY WAS SAMPLE ROOM NOT SELECTED?

600-01-0017-01-02 DCQ v. 1.6 *Why Actual not Potential* *DCQ0040*

DCQ.025 prompts the interviewer to code whether the room where the samples were collected is the same room coded at DCQ.015. If you select “1”, you will skip to the questions which ask for the results of the collection beginning with DCQ.050.

If you select “2” CAPI will display DCQ.030 so that you may enter the actual room location of the sample. (If you select ‘Another Room’ CAPI, you will be asked to enter the room type in the space provided.) All the room definitions in DCQ.030 will be available on line via “help” screen.

If you select “3” CAPI will skip you to DCQ.420 to record the reason that neither sample could be collected.

At DCQ.040 CAPI will ask you to record the reason you could not collect dust in the original room selected at DCQ.015.

The screenshot shows a software interface for data entry. At the top, a text box contains the prompt "FLOOR DUST SAMPLE ENTER RESULT:". Below this is a list box with two options: "FLOOR SAMPLE OBTAINED" and "FLOOR SAMPLE NOT OBTAINED". The bottom of the screen features a control bar with several elements: a field containing the identifier "600-01-0017-01-02", a version field "DCQ v. 1.6", a label "Floor Result" above a text input field, and a field labeled "DCQ050". To the left of these fields are icons for a home screen, a "Remarks" field, and a "HELP" button. To the right are a "Turn On Pad" button and two large navigation arrows (left and right).

DCQ.050 prompts the interviewer to record whether a floor dust sample was collected in the sampled room. If no floor sample was obtained, CAPI moves to DCQ.130.

CHECK EACH LABEL ON ALL SAMPLE TUBES USED ENTER SAMPLE NUMBER USED:	
Dust Sample No	Dust Sample No Confirmation
1-2-3-4-5-6	
600-01-0017-01-02 DCQ v. 1.6 Sample No DCQ060 	

If you were able to collect a floor dust sample, DCQ.060 prompts you to enter the sample number used for all dust samples taken in the household. CAPI also prompts you to check that all sample containers are labeled with the same number. If the label is not the same for one or more of the samples, correct the situation so that all sample containers have the same number.

CHECK EACH LABEL ON ALL SAMPLE TUBES USED ENTER SAMPLE NUMBER USED:	
Dust Sample No	Dust Sample No Confirmation
	1-2-3-4-5-6
600-01-0017-01-02 DCQ v. 1.6 Sample No DCQ060 	

In order to check that the sample number you entered is correct, DCQ.060 will also require you to enter the sample number a second time. If the sample number does not match the number you entered previously, you will be prompted with the following message: “The sample numbers you have entered do not match. Check the number on all labels and re-enter.”

NOTE: DCQ.060 will appear after DCQ.220 if you do not collect a floor sample but do collect a window sample.

ENTER ROOM CARPET CODE: CODE ALL THAT APPLY	
NO CARPET:	<input type="checkbox"/>
MAT (2ft BY 3ft OR LESS):	<input type="checkbox"/>
AREA RUG:	<input type="checkbox"/>
WALL TO WALL CARPET:	<input type="checkbox"/>
600-01-0017-01-02 DCQ v. 1.6 Floor Covering Type DCQ070	

DCQ.070 prompts you to select the Room Carpet Code(s) from LDSF Item 2, “Sample.” CAPI will not allow you to select both Room Carpet Code ‘1’ (No Carpet) and any of the other codes. If you select “WALL TO WALL” CAPI will skip you to DCQ.090.

ENTER FLOOR SAMPLE SURFACE CONDITION:	
<div style="border: 1px solid black; padding: 5px;"> <div style="background-color: black; height: 15px; width: 100%;"></div> <div> SMOOTH AND CLEANABLE NOT SMOOTH AND CLEANABLE CARPETED </div> </div>	
600-01-0017-01-02 DCQ v. 1.6 Sample Surface DCQ080	

DCQ.080 prompts you to select the Sample Surface Condition Code from LDSF Item 2, “Sample.” CAPI will not allow you to select more than one Sample Surface Condition Code, or to select ‘3’ (Carpeted) if DCQ.070 (Room Carpet Code) was ‘1’ (No Carpet).

ENTER CARPET PILE DEPTH:

LOW PILE
HIGH PILE
NOT APPLICABLE

600-01-0017-01-02 DCQ v. 1.6 *Pile Depth* **DCQ090**

Remarks HELP Turn On Pad

DCQ.090 prompts you to select the Carpet Pile Height Code from LDSF Item 2, “Sample.” If there is no carpet where the floor dust sample is collected, select ‘3’ (Not Applicable).

WHY WAS FLOOR DUST SAMPLE NOT OBTAINED?

☐ OTHER (SPECIFY)
☐ REFUSED TO COMPLETE SAMPLE

600-01-0017-01-02 DCQ v. 1.6 *Why sample not* **DCQ130**

Remarks HELP Turn On Pad

If you were **not** able to collect a floor dust sample, CAPI will skip to DCQ.130 where you will select the reason that you could not collect the sample. If the reason is ‘Other’, you will be asked to type the reason in the space.

FLOOR DUST SAMPLE REPLICATE ENTER RESULT:			
<div style="border: 1px solid black; padding: 5px;"> <div style="background-color: black; height: 15px; width: 100%;"></div> <div> FLOOR REPLICATE SAMPLE OBTAINED FLOOR REPLICATE SAMPLE NOT OBTAINED </div> </div>			
600-01-0009-01-02	DCQ v. 1.6	Floor Dust Sample	DCQ140
		HELP	

If a floor replicate sample was required in the household, DCQ.140 will prompt you to record whether the replicate sample was collected. If you did not collect a required floor replicate sample, CAPI will skip to DCQ.210 so that you can record the reason no floor replicate sample was obtained.

ENTER REPLICATE FLOOR SAMPLE SURFACE CONDITION:			
<div style="border: 1px solid black; padding: 5px;"> <div style="background-color: black; height: 15px; width: 100%;"></div> <div> SMOOTH AND CLEANABLE NOT SMOOTH AND CLEANABLE </div> </div>			
600-01-0009-01-02	DCQ v. 1.6	Sample Surface	DCQ160
		HELP	

DCQ.160 prompts you to select the Sample Surface Condition Code from LDSF Item 2, “Replicate.” CAPI will not allow you to select more than one Sample Surface Condition Code, or to select ‘3’ (Carpeted) if DCQ.150 (Room Carpet Code) was ‘1’ (No Carpet).

ENTER REPLICATE CARPET PILE DEPTH:

LOW PILE
HIGH PILE
NOT APPLICABLE

600-01-0009-01-02 DCQ v. 1.6 Carpet Pile Depth DCQ170

Remarks HELP Turn On Pad







DCQ.170 prompts you to select the Carpet Pile Height Code from LDSF Item 2, “Replicate.” If there is no carpet where the floor dust replicate was collected, select ‘3’ (Not Applicable.)

PLEASE DESCRIBE REASON:







634-02-0019-01-02 DCQ v. 1.8 Why Specify? DCQ210

Remarks Español Turn On Pad

If you were **not** able to collect a required floor dust replicate, CAPI will skip to DCQ.210 where you will select the reason that you could not collect the replicate. If the reason is ‘Other’, you will be asked to type the reason in the space provided.

WINDOW SILL DUST SAMPLE ENTER RESULTS			
<div style="border: 1px solid black; padding: 5px;"> <div style="background-color: black; height: 15px; width: 100%;"></div> <div>WINDOW SILL SAMPLE OBTAINED WINDOW SILL SAMPLE NOT OBTAINED</div> </div>			
600-01-0017-01-02	DCQ v. 1.6	Window Sill Dust	DCQ220
			  

DCQ.220 prompts the interviewer to record whether a window dust sample was collected in the sampled room. If you were **not** able to collect a window sill sample, CAPI will skip to DCQ.290 where you will select the reason that you could not collect the sample.

ENTER WINDOW SILL FINISH STATUS:			
<div style="border: 1px solid black; padding: 5px;"> <div style="background-color: black; height: 15px; width: 100%;"></div> <div>FINISHED NOT FINISHED</div> </div>			
600-01-0017-01-02	DCQ v. 1.6	Window sill paint status	DCQ240
			  

DCQ.240 prompts you to select the Window Sill Finish from LDSF Item 3, “Sample.”

ENTER WINDOW SILL SAMPLE SURFACE CONDITION:

SMOOTH AND CLEANABLE
NOT SMOOTH AND CLEANABLE

600-01-0017-01-02 DCQ v. 1.6 Sample Surface DCQ250

Remarks HELP Turn On Pad

DCQ.250 prompts you to select the Sample Surface Condition Code from LDSF Item 3, “Sample.”

ENTER SURFACE AREA WIPED:
ENTER INCHES WIPED:

Length : 3
Whole inches

Length :
1/8 inches

0/8
1/8
2/8
3/8

600-01-0018-01-03 DCQ v. 1.6 Inches Wiped - Length 1 DCQ270

Remarks HELP Turn On Pad

DCQ.270 prompts you to enter the length of the sill surface area wiped in inches to the nearest eighth of an inch.

ENTER INCHES WIPED:	
Width : Whole inches	Width : 1/8 inches
5	3/8 4/8 5/8 6/8
600-01-0018-01-03	DCQ v. 1.6
	<i>Inches Wiped - Length 2'</i>
DCQ.280	

DCQ.280 prompts you to enter the width of sill surface area wiped in inches.

WINDOW SILL DUST SAMPLE REPLICATE: ENTER RESULTS	
<div style="background-color: black; height: 20px; width: 100%;"></div> <div> WINDOW SILL REPLICATE SAMPLE OBTAINED WINDOW SILL REPLICATE SAMPLE NOT OBTAINED </div>	
600-01-0017-01-02	DCQ v. 1.6
	<i>Window Sill Replicate</i>
DCQ.300	

If a window sill replicate sample was required, DCQ.300 will prompt you to record whether the replicate sample was collected. If you did not collect a required window sill replicate, CAPI will skip to DCQ.360 so that you can record the reason the window sill replicate was not obtained.

ENTER REPLICATE WINDOW SILL FINISH STATUS:

FINISHED
NOT FINISHED

600-01-0017-01-02 DCQ v. 1.6 Window Sill Paint Status DCQ.310

Remarks HELP Turn On Pad

DCQ.310 prompts you to select the Replicate Window Sill Paint Finish from LDSF Item 3, “Replicate.”

ENTER REPLICATE WINDOW SILL SAMPLE SURFACE CONDITION:

SMOOTH AND CLEANABLE
NOT SMOOTH AND CLEANABLE

600-01-0017-01-02 DCQ v. 1.6 Sample Surface DCQ.320

Remarks HELP Turn On Pad

DCQ.320 prompts you to select the Sample Surface Condition Code from LDSF Item 3, “Replicate.”

WHY WAS WINDOW SILL DUST SAMPLE NOT OBTAINED?

☐ NO WINDOW
☐ NO SILL
☐ ALL WINDOWS INACCESSIBLE
☐ OTHER (SPECIFY)
☒ REFUSED TO COMPLETE SAMPLE

600-01-0017-01-02 DCQ v. 1.6 Why sill dust not DCQ.335
 [Home] [Remarks] [HELP] [Turn On Pad] [Previous] [Next]

If you were **not** able to collect a window sill sample, CAPI will skip to DCQ.335 where you will select the reason that you could not collect the sample. If the reason is ‘Other’, you will be asked to enter the reason in the space provided. Be specific in your explanation of why the sample could not be obtained.

ENTER SURFACE AREA WIPED:
ENTER INCHES WIPED:

Length : **Whole inches**

 Length : **1/8 inches**

600-01-0018-01-03 DCQ v. 1.6 Inches Wiped-Length 1 DCQ.340
 [Home] [Remarks] [HELP] [Turn On Pad] [Previous] [Next]

DCQ.340 prompts you to enter the length of the sill surface area wiped in inches to the nearest eighth of an inch.

ENTER INCHES WIPED:

Width : 5
Whole inches

Width : 1/8 inches

1/8
2/8
3/8
4/8

600-01-0018-01-03 DCQ v. 1.6 Inches Wiped-Length 2 DCQ.350

Remarks HELP Turn On Pad

DCQ.350 prompts you to enter the width of sill surface area wiped in inches.

WHY WAS WINDOW SILL DUST REPLICATE NOT OBTAINED?

☐ NO WINDOW

☐ NO SILL

☐ ALL WINDOWS INACCESSIBLE

☐ OTHER (SPECIFY)

☒ REFUSED TO COMPLETE SAMPLE

600-01-0017-01-02 DCQ v. 1.6 Why window sill dust not DCQ.360

Remarks HELP Turn On Pad

If you were **not** able to collect a replicate window sill dust sample, CAPI will skip to DCQ.360 where you will select the reason no replicate sample was collected. If the reason is 'Other', you will be asked to enter the reason in the space provided.

ENTER RESULT OF FIELD BLANK:

FIELD BLANK COMPLETE
FIELD BLANK NOT COMPLETE

600-01-0017-01-02 DCQ v. 1.6 Result of Blank Field DCQ.370

Remarks HELP Turn On Pad

DCQ.370 will prompt you to record whether a field blank was collected (if a field blank was required.)







WHY WAS FIELD BLANK NOT COMPLETED?

Why blank not DCQ.390







600-01-0017-01-02 DCQ v. 1.6 Why blank not DCQ.390

Remarks HELP Turn On Pad

If a field blank was required but you were unable to collect it, enter the reason in DCQ.390.

INTERVIEWER OBSERVATION ROOM CLEANLINESS	
<div style="border: 1px solid black; padding: 5px;"> <div style="background-color: black; height: 15px; width: 100%;"></div> <div> DIRTIER THAN AVERAGE AVERAGE CLEANER THAN AVERAGE </div> </div>	
<div style="display: flex; justify-content: space-between; align-items: center;"> 600-01-0017-01-02 DCQ v. 1.6 Int Obs-Room DCQ400 </div> <div style="display: flex; justify-content: space-between; align-items: center;"> <div>    </div> <div>  </div> <div>   </div> </div>	

DCQ.400 will prompt you to record the room cleanliness level from LDSF Item 4.

INTERVIEWER OBSERVATION ROOM CLUTTER	
<div style="border: 1px solid black; padding: 5px;"> <div style="background-color: black; height: 15px; width: 100%;"></div> <div> VERY CLUTTERED - NOTHING IN PLACE AVERAGE AMOUNT OF CLUTTER ORGANIZED - NOTHING OUT OF PLACE </div> </div>	
<div style="display: flex; justify-content: space-between; align-items: center;"> 600-01-0017-01-02 DCQ v. 1.6 Int Obs-Room Clutter DCQ410 </div> <div style="display: flex; justify-content: space-between; align-items: center;"> <div>    </div> <div>  </div> <div>   </div> </div>	

DCQ.410 will prompt you to record the room cleanliness level from LDSF Item 4.

WHY WERE YOU UNABLE TO COMPLETE BOTH FLOOR AND WINDOW SILL DUST SAMPLE?	
<input type="radio"/> OTHER (SPECIFY) <input type="radio"/> REFUSAL	
600-01-0017-01-02	DCQ v. 1.6
Why unable to complete	
DCQ.420	

If you were **not** able to complete either a floor or a window sill dust sample, DCQ.420 will prompt you for the reason and CAPI will move you to the end of the module.

Thank you.	
<div style="border: 1px solid black; height: 150px; width: 100%;"></div>	
600-01-0017-01-02	DCQ v. 1.6
Pre Exit Dust	
DCQPExit	

Prior to exiting the dust module, the screen above will appear and prompt you to thank the respondent.

7.8 Handling Dust Samples

No special handling of the dust samples is required. They may be kept at room temperature until you turn them into your supervisor. The FO will store the sample containers until it is time to deliver the samples to the MEC for re-labeling, tracking and shipping to the lab.

7.9 Dust Collection Reference Guide

To assist you in the collection of household dust samples, your Hand Cards will contain a section on dust (Exhibit 7-13) which documents the key steps in the dust collection procedure. You should always have these cards with you when you are undertaking this module of the study.

Exhibit 7-13. Dust Collection General Procedures
(part of the interviewer's hand card set)

**DUST COLLECTION
REFERENCE GUIDE**

DUST COLLECTION – GENERAL PROCEDURES

1. Prepare a clean area for sampling supplies.
2. Pull the sample tubes out of the kit, and label the tubes prior to beginning the wipe process.
3. Refer to the top of the Lead Dust Sampling Form (LDSF) to determine which samples are to be collected in the room.

You must collect the lead dust samples in each room *in the following order*:

- (1) Floor wipe;
- (2) Floor replicate wipe (if required);
- (3) Window sill wipe;
- (4) Window sill replicate (if required); and
- (5) Field blank (if required).

4. Outline the wipe area as described for floor and window sill samples on the following pages.
5. Put on a clean pair of disposable gloves before the collection of each sample type and before opening the wipes. It is not necessary to wipe your hands before putting on the gloves.

FLOOR DUST SAMPLES – SPECIFIC PROCEDURES (Page 1 of 2)

Floor dust sample: A floor dust sample is a sample obtained by wiping a 12-inch by 12-inch area of the floor surface. These are collected in the sampled room in every eligible home.

Floor dust sample location: Collect the floor dust sample from the center of the largest open area of the floor space in the sampled room. An **“open area”** is defined as one in which no furniture is sitting and in which a person can walk. Narrow spaces between pieces of furniture and behind doors do not constitute an open area or part of an open area.

Floor dust replicate: A floor dust replicate is a second sample obtained by wiping a 12-inch by 12-inch area of the floor in the sampled room (same room as the floor wipe sample). Floor dust replicate samples will be collected in approximately 10 percent of the eligible homes.

Floor dust replicate location: Collect the floor dust replicate from the center of the *second* largest open area of the floor space in the sampled room. If there isn't a second open area, collect the replicate floor sample from a different area in the largest open area, but **not immediately adjacent to the original sample**.

Steps in Collecting Floor Dust Samples:

1. Select the floor wipe area: The center of the largest open area in the room for the floor wipe; the center of the second largest open area for the floor replicate.
2. Outline the wipe area: Position the one square foot cardboard template over the wipe area. When putting down the template, do not touch the interior wipe area. Tape the template in place with the painter's tape across the entire open side. Use two short pieces of tape to position the remaining two corners.
3. Partially unscrew the cap on the appropriate sample or replicate container.
4. Fully unfold the wipe (one fold may still be in place). Do a preliminary inspection of the disposal wipe to determine if it is moist. If it is dried out, throw it away and use another wipe.
5. Place the wipe at one corner of the surface to be wiped with wipe fully opened and flat on the surface.
6. With the fingers together, place your hand over the wipe. Press down firmly throughout the entire wipe process, with both palm and fingers. Do not use the heel of the hand, or only the fingertips to hold down the wipe.
7. Do the first wipe pass (side-to-side): Proceed to wipe side-to-side with as many “S”-like motions as are necessary to completely cover the entire wipe area.
8. Do the second wipe pass (side-to side in opposite direction): Fold the wipe in half with the contaminated side facing inward. (The wipe can be straightened out by laying it on the wipe area, contaminated side up, and folding it over.) Once folded, place in the top corner of the wipe area. Repeat wiping the entire area with “S”-like motions, but on this second pass, move in a top-to-bottom direction (i.e., perpendicular, or 90 degrees, to the direction wiped on the first pass).

FLOOR DUST SAMPLES – SPECIFIC PROCEDURES (Page 2 of 2)

9. Do the third wipe pass (perimeter): Fold the wipe in half with the contaminated side facing inward (one-fourth of the total wipe). Wipe around the perimeter attempting to pick up any dust pushed into the edges during the first and second passes.

Attempt to remove all visible dust from the wipe area. *Note:* Exerting too much pressure will cause the wipe to curl; exerting too little pressure will result in poor dust collection. It will work best if you hold the appropriate corner of the wipe at the leading edge with the opposite hand, and pull gently in the direction you are wiping, in order to keep the wipe flat.

10. After wiping, fold the wipe with the contaminated side facing inward two more times (total of five folds), insert it into the sample tube with the proper label, and replace the lid. If gross debris is present, be careful that the debris does not fall out of the wipe while folding. Place the sample tube into the sample bag in the kit.

WINDOW SILL DUST SAMPLES – SPECIFIC PROCEDURES (Page 1 of 2)

Window sill dust sample: A window sill dust sample is collected by wiping a window sill in the sampled room. These are collected in the sampled room in every eligible home (if a window sill is present in the sampled room).

Window sill dust sample location: Collect window sill dust from a randomly-selected window. Select the random window following the protocol described in Exhibit A.

Window sill dust replicate – A window sill dust replicate is collected by wiping the sill of a different window in the sampled room. These are collected in approximately 10 percent of the homes in which dust collection is conducted.

Window sill dust replicate location: Collect the window sill dust replicate from a second randomly-selected window. Select the random window following the protocol described in Exhibit A. If there is not another accessible window in the room, then no sill replicate will be collected in that home.

Steps in Collecting Window Sill Dust Samples:

1. Randomly select the window to be wiped in accordance with the protocol in Exhibit A. Without touching the window sill area, remove any objects that are on the sill wipe area, or items that will interfere with sampling.
2. Outline the wipe area: Carefully apply two strips of painter's tape across the ends of the sill to define a wipe area (be careful not to touch the sill when applying the tape). In general, you will sample the entire width and length of the window sill. (Do not sample a length longer than 36 inches.) For odd sized window sills (i.e. very narrow or very wide), guidelines for acceptable wipe area sizes are listed:

Width of Sill	Length of Wipe Area
1 to 2 inches	15 to 36 inches
3 to 4 inches	10 to 36 inches
5 to 6 inches	10 to 25 inches
8 to 10 inches	5 to 20 inches

3. Partially unscrew the cap on the appropriate sample or replicate container.
4. Fully unfold the wipe (one fold may still be in place). Do a preliminary inspection of the disposal wipe to determine if it is moist. If it is dried out, throw it away and use another wipe.
5. Place the wipe at one side of the sill surface to be wiped with wipe fully opened and flat on the surface.
6. With the fingers together, place your hand over the wipe. Press down firmly throughout the entire wipe process, with both palm and fingers. Do not use the heel of the hand, or only the fingertips to hold down the wipe.

WINDOW SILL DUST SAMPLES – SPECIFIC PROCEDURES (Page 2 of 2)

7. Do the first wipe pass (straight across sill): With the fingers together, place your hand over the fully open wipe. Proceed to wipe straight across the window sill from one side to the other.
8. Do the second wipe pass (straight across in the opposite direction): Fold the wipe in half with the contaminated side facing inward. Once folded, place on the opposite side of the sill area and press down firmly with the palm and fingers. Proceed to wipe straight across the window sill from one side to the other – in the direction opposite from that used for the first wipe pass.
9. Do the third wipe pass (straight pass with emphasis in corners): Fold the wipe in half with the contaminated side facing inward (one-fourth of the total wipe). Proceed to wipe straight across the window sill from one side to the other – in the same direction as used for the first wipe pass.

Attempt to remove all visible dust from the wipe area. *Note:* Exerting too much pressure will cause the wipe to curl; exerting too little pressure will result in poor dust collection. It will work best if you hold the appropriate corner of the wipe at the leading edge with the opposite hand, and pull gently in the direction you are wiping, in order to keep the wipe flat.

10. After wiping, fold the wipe with the contaminated side facing inward two more times (total of five folds), insert it into the sample tube with the proper label, and replace the lid. If gross debris is present, be careful that the debris does not fall out of the wipe while folding. Place the sample tube into the sample bag in the kit.
11. Measure the sill surface length and width wiped to the nearest eighth of an inch using the tape measure. Record the exact dimensions for each area wiped on the LDSF. Remember that:

$\frac{1}{4}$ inch = $\frac{2}{8}$ inch

$\frac{1}{2}$ inch = $\frac{4}{8}$ inch

$\frac{3}{4}$ inch = $\frac{6}{8}$ inch

Exhibit A. Selection of the random wall (and random window) for window sill sample

Note: When a large window area is composed of multiple individual windows, count each individual window as a distinct window. In the discussion below, sliding glass doors are not counted as windows.

- A. If there is only one window in the room, select that window for dust sampling.
- B. If there is more than one window in the room, you must select a window at random using a three step process: 1) select a random wall (C and D below), then 2) select a random window (E), and finally 3) check that the window is openable (F).
- C. If there is only one wall with windows in the room, select that wall. Move to E below to select a random window.
- D. If there are windows on more than two walls, you must first select a random wall:
 1. Look into the room from the entry you walked into.
 2. The wall to your left is Wall 1. Wall 2 is the next wall in a clockwise direction, and so on around the room. Assign wall numbers to only four walls, even in odd shaped rooms.
 3. Look at the second hand on your watch (Exhibit 7-8 in IM):
 - If the second hand is 1-15, select Wall 1.
 - If the second hand is 16-30, select Wall 2.
 - If the second hand is 31-45, select Wall 3.
 - If the second hand is 46-00, select Wall 4.
 4. If there is no window on the selected wall, move clockwise around the room until you reach a wall with a window. Select that wall.
- E. If there is more than one window on the selected wall, select a random window as follows:
 1. Stand facing the wall.
 2. The window to your left is Window 1, Window 2 is the next window to the right, etc.
 3. Look at the second hand on your watch (Exhibit 7-9 in IM):
 - If the second hand is 1-15, select Window 1.
 - If the second hand is 16-30, select Window 2.
 - If the second hand is 31-45, select Window 3.
 - If the second hand is 46-00, select Window 4.
- F. Once you have selected the random window, check to see if it is openable. If not, proceed clockwise around the room until you either:
 1. Find an openable window – sample that window.
 2. Find no openable window – sample the initial selected random window.

FIELD BLANKS – PROCEDURES

Field blank: A field blank is a sample that is treated just like a wipe sample, but no surface is wiped. These will be collected in approximately 10 percent of the homes in which dust collection is conducted.

Field blank location: Collect the field blank while still in the sampled room.

Steps in Collecting the Field Blank Sample:

1. Partially unscrew the cap on the appropriate container.
2. Fully unfold the wipe (one fold may still be in place). Do a preliminary inspection of the disposal wipe to determine if it is moist. If it is dried out, throw it away and use another wipe.
3. Do not wipe a surface.
4. Re-fold the wipe in half 5 times and place it in the sample tube with the proper label, and replace the lid. Place the sample tube into the sample bag in the kit.

COMPLETION OF DUST COLLECTION

Decontamination: After each sample type, remove the gloves and put in the trash bag. After all dust sampling is completed, use a clean wet wipe to clean your hands. During sampling, do not eat, drink, smoke, or otherwise cause hand to mouth contact.

Trash Disposal: Place all trash in the trash bag. Do not throw away gloves, wipes, template, tape or the trash bag inside the home. Carry the trash bag separately from the Dust Collection Kit. Do NOT place the used trash bag in the Dust Collection Kit.

Packing supplies: Leave unused supplies in the original kit. Place the collected samples in the zip-lock bag provided and place this in the original dust kit.

Replace any moved items in the home: If you have moved any items in order to sample (e.g. off the window sill), relocate those items in their original position.

Sample handling: No special handling of the dust samples is required. Samples should be kept at room temperature and should be protected from light until turned into the FO. Submit completed sampling kits to the FO during your next meeting with your supervisor. The FO will store the sample containers until it is time to deliver the samples to the MEC for re-labeling, tracking and shipping to the study lab for analysis.

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